

# NAVAL POSTGRADUATE SCHOOL

## Monterey, California



## THESIS

**THE INTRODUCTION OF APPRECIATIVE INQUIRY TO  
THE U.S. NAVY USING APPRECIATIVE INQUIRY  
INTERVIEWS AND THE LARGE GROUP  
INTERVENTION WITH APPLICATIONS TO U.S. MARINE  
CORPS LOGISTICS STRATEGIC MANAGEMENT**

by

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March 2002

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## **ABSTRACT**

This thesis documents the introduction of the Appreciative Inquiry (AI) method within the U.S. Navy and discusses applications of Appreciative-Inquiry-based Large Group Intervention (AI-LGI) within Marine Corps Logistics strategic planning, implementation, and organizational change. It is a follow-on from David Nystrom's thesis "360-Degree Feedback, Leadership, Leadership Development, Performance Appraisal." Unlike traditional top-down and bottom-up strategies that seek to identify and analyze problems in systems, AI evaluates what gives life to organizations at their best moments by using the power of positive questioning. When combined with a Large Group Intervention, AI is a powerful tool to effect rapid organizational change. This thesis introduces AI, discusses its history, and describes the history of change efforts within the Navy. This thesis documents events leading up to and including the "Leadership Summit" and encompasses the introduction of AI within the U.S. Navy. This thesis also presents qualitative analysis of stories that address issues of leadership. It discusses financial management implications of implementing this process and describes using AI-LGIs within the strategic management process as a tool for facilitating rapid and collaborative organizational change within Marine Corps Logistics.

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—Paul Tripp

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—Mark Zipsie

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## **I. OVERVIEW AND SETTING**

### **A. PURPOSE OF THIS STUDY**

The purpose of this study is to document the United States Navy's use of Appreciative Inquiry (AI) in a large group intervention process and to evaluate its potential for future use in other Department of Defense settings. This study focuses on how the Navy implemented the AI process and traces the history of AI from the first Executive Steering Committee to the Leadership Summit.

There is a groundswell of support for changing the Navy's culture and the way in which the organization is viewed. Top leadership is attempting to understand why retention, recruiting and making the Navy an employer of choice are seemingly impossible tasks. Appreciative Inquiry represents a new perspective that can be seen in the body of stories, knowledge and wisdom that currently exist within the Navy. This study attempts to capture these stories through the interview process, analyze the data therein, and present themes to the Appreciative Inquiry Summit for discussion and possible implementation. Lastly, an evaluation of the Appreciative Inquiry Summit will have powerful implications for how a cultural change can be effectively implemented within the Department of Defense. AI and its value must be clearly understood before this process of change can occur on a larger scale.

### **B. RESEARCH QUESTIONS AND METHODOLOGY**

Given the purpose of this study, the primary, secondary and tertiary research questions are as follows:

#### *Primary Research Question:*

How did the Navy implement large group intervention using Appreciative Inquiry and Appreciative Inquiry interviews?

- a. What are the major decisions and initiations?
- b. How do key stakeholders make sense of the change process?
- c. What are the key events as the large group intervention emerges?

#### *Secondary Research Question:*

What major themes emerge from Appreciative Inquiry interviews?

- a. Where have people experienced meaningful leadership and great teams?

*Tertiary Research Question:*

How will large group intervention, specifically Appreciative Inquiry, be applied to future Department of Defense applications?

## **C. THESIS ORGANIZATION**

Chapter II discusses why this is an unusual time for change and how the Department of the Navy (DON) has, historically, used change methods. It also defines Appreciative Inquiry and gives an in-depth illustration of its four key components. Chapter III presents the story of how DON used AI as a large group intervention tool. It then details the implementation of Appreciative Inquiry as a concept and, finally, as the agent for change in a large group intervention process through the Leadership Summit Steering Committee, the worldwide Command Master Chief Conference, and the interview process. Chapter IV discusses the data analysis process, specifically the introduction of the theory to qualitative analysis and the process of utilizing the software to tie codes, links and networks. It also discusses the identification of themes and goes on to show how all of the aforementioned items could be utilized in an AI Summit. The last section of Chapter IV identifies how the themes from the qualitative data analysis were used and how they influenced the AI summit. Chapter V gives a chronological overview of the Leadership Summit and lists the provocative propositions, as well as the pilot programs, some of which were briefed to the CNO. Chapter VI steps back to look at traditional change methods in DON and discusses how an LGO would fit as a generative strategic planning method within the Marine Corps. The last part of this chapter discusses some financial implications of the Summit that took place in December, as well as future Summits, which may be helpful for planning purposes. Chapter VII presents a summary of the thesis and states conclusions drawn from the research, [as well as the process of an AI-LGI. The chapter presents recommendations that can be applied now and for future research. Chapter VIII provides amplifying information to the events leading up to and including the Leadership Summit, as well as other important information on the interview process, qualitative analysis and Marine Corps Logistics.

## **II. WHY THIS IS AN UNUSUAL TIME FOR CHANGE**

### **A. HOW CHANGE METHODS HAVE EVOLVED**

The way in which change methods have evolved is an integral part of this chapter for two reasons: first, because it lays the groundwork for understanding how change has occurred within the Navy; and, second, it helps define the concept of Appreciative Inquiry. Specifically, change within the Navy is discussed in terms of the integration of blacks, women and Total Quality Leadership (TQL), a management tool that will be defined later. Appreciative Inquiry is discussed as a process for change. Specific steps to implement Appreciative Inquiry as a large group intervention tool are outlined.

Large group interventions have emerged from the fields of three intellectual traditions: 1) social (Gestalt) psychology; 2) psychoanalytical theory; and 3) systems theory as applied to organizations. Gestalt psychology emphasizes the holistic configuration of psychological events, as contrasted with atomistic theories, developed in Germany and introduced to the U.S. in the late 1930s and during the years of WW II via Kurt Lewin. His “Field Theory,” which was based on physics, emphasized human behavior as the product of a dynamic field of forces.

Parallel developments occurred in the U.K., but from a theoretical base different from the Lewinian tradition. Wilfred Bion, a psychiatrist and psychoanalyst associated with the Tavistock Institute in London (created to make social science knowledge applicable to individual, group and system issues), found that he couldn’t keep up with his caseload of returning WW II vets because the numbers were just too high. As a result, he started treating patients in groups and soon discovered that the dynamics in groups were much greater than in his one-on-one sessions. These dynamics could either assist or sabotage the task. Eventually he derived three basic assumptions that can help or hinder the primary task of the group: 1) dependence; 2) fight or flight; and 3) pairing.

In 1957, these practices and theories came to the U.S. via A.K. Rice, who began facilitating conferences to train professionals to identify and understand group processes in organizations.

Another researcher in Britain Eric Trist, a founder of the Tavistock Institute and one of Bion's colleagues in Action Research during WW II. Trist and a young colleague, Fred Emery, developed the idea of Socio-Technical systems from studies they did in British coal mines in the 1950s. They developed a process for analyzing and achieving the best fit of social and technical systems in organizations.

Trist and Emery were invited to help design a conference for the top leadership of Bristol/Siddeley, an aeronautical engineering company. The top leadership held a leadership conference with speakers and a specific topic in mind, but Emery and Trist, who had been studying the adjustment of industry to turbulent times, had other ideas. They conducted a weeklong exploration of the business environment, the aeronautics industry, and the desirable future role for Bristol/Siddeley. In the end, the group was talking like one company and had redefined their business.

Ludwig von Bertalanffy's "thinking about biology" was the third piece in the development of Large Group Interventions. Fred Emery at Tavistock furthered Bertalanffy's ideas. Two major paradigm shifts were realized using systems theory study: 1) an organization's environment is a key element in understanding organizational functioning; and 2) changes in one part of the system affect the whole system.

In 1966, University of Michigan social psychologists David Katz and Robert Kahn published the first edition of their book *Open Systems Approach to Organizations*. In the early 1970s, the Gestalt Institute in Cleveland, Ohio and the National Training Laboratories Institute started training programs for consultants in Open Systems Thinking.

The field of organizational development matured during the 1980s. By then, many of the senior field practitioners had 20+ years of experience. There was a move toward *transformational change*, a new kind of change that would alter the whole organization at once, rather than follow the slow, waterfall-type process of earlier methods. One of these senior practitioners was Marvin Weisbord, who used the writing of his 1987 book, *Productive Workplaces*, to reflect on his extensive experience working with organizations and the history of management practices in the U.S. The book, which looked at the state of organizational development, examined in a new light the contributions of Frederick Taylor, Douglas McGregor, Eric Trist, Fred Emery and Kurt

Lewin. Weisbord developed a new practice theory which stressed: 1)“getting the whole system into the room” in order to create effective change; and 2) that stakeholders outside organizations could contribute to rethinking what was needed in the fast-changing world of new customer requirements and new technology.

In the 1900's [is there an apostrophe in the original? If not, remove it. If so, put [sic] after 1900's] experts solved problems for people, which was known as scientific management. In the 1950's, Lewin's descendants started everybody solving their own problems, which were known as participative management. About 1965, experts discovered systems thinking and began improving whole systems, for other people. Now, we are learning how to get everybody improving whole systems (Weisbord, 1987).

The concept of whole systems is exactly what the Navy attempted to get its arms around when it integrated blacks, women and other management tools within the Navy. The previous section shows that it has been a gradual developmental process that has endured both time and cultural differences. The following section illustrates how the Navy came to understand change methods and discusses how they evolved.

## **B. CHANGE METHODS WITHIN THE NAVY**

The late 1960s and early 1970s can be termed a watershed in Navy history.

These years represent a change in tradition as clearly as the changes occurring just prior to World War II when our armed forces adjusted to the citizen force concept . . . and is a turning point because new liberal ideas found their way into the operation of the Navy organization (Butler, 1981).

Today's environment is no less a watershed, except that the current change in tradition is driven by technological advances, the breakdown of the communist regime, and the development of virtual environments.

### **1. The Integration of Blacks**

The first recognized change that the Navy was forced to make was the integration of blacks into the Navy. Blacks had been involved in military service in the Revolutionary War and on Union and Confederate ships during the Civil War, had received the Medal of Honor (1864), and had served in the Spanish-American War and in World War II. Despite their military involvement throughout the history of the U.S., however, blacks endured restrictions. In 1945, for example, a rule was established that

not more than ten percent of a ship's company could consist of black personnel. As society became aware of the inequality, the Navy took an inward look at its own racial makeup. This was in 1963, and, much like the present time, Navy leadership was unsure of how to approach this shift in cultural mindset.

In 1968, the Navy formulated a study group to address how blacks should be integrated into the Navy. This study group (Johnson, 1976) comprised many elements. The first, Element A, was a study group that consisted of action officers, officers and enlistees from the field, whose task was to make recommendations to the seniors. Follow-on elements included an approving panel (senior officers in policy-making positions) and the operating forces and shore establishment, who were required to respond to the policies promulgated by the chain of command. The Navy implemented channels to communicate among these elements— X1, which was used to report to the senior officers (either orally or in writing) and X2, for communicating information to the field from the approving panel. The next communication tool this study group put in place was a feedback mechanism to ensure communication among all of the aforementioned members. The feedback systems were broken down into avenues that allowed feedback from the approving authority and the operating forces.

The above example is especially important because it shows the layers of personnel, communication and feedback that the Navy established in order to ensure a smooth, transition in its first attempt at equal opportunity for blacks—the first large-scale change attempted in the 1900s. Once the approving panel made a decision, it was broadcast throughout the Navy, where commanding officers were instructed to “embrace” and implement it. The only message that was communicated was to “get the job done,” and the top of the chain would be supportive. While this approach may appear “bureaucratic,” it has been hailed as one of the most successful large-scale changes undertaken by the Department of Defense.

From 1970 to 1974, the model was changed, with the most crucial difference between study groups being the channels used to communicate the message. The Navy included input from men and women, enlisted, officers, and wives—adding a new perspective (Johnson, 1976). “. . . Personnel were drawn from the entire Navy community and convened in the Washington area” (Johnson, 1976). In 1974, a report



was given to the Navy Times for broadcast, pictures were taken with the group and the CNO, and an ALNAV was issued throughout the entire Navy, showing that the CNO supported this effort. Along with visible support, local commands received training videos for educating their crews, and “visiting teams visited major naval activities and met with commanding officers and with minority personnel and their dependents to ensure that awareness and understanding was occurring” (Johnson, 1976). This was an entirely different approach from the “top-down” approach of 1968 and illustrates the progress the Navy made in implementing change within this large organization.

This method of ensuring equal opportunity for blacks was not the only development that occurred within the Navy during the early 1970s. Organizational development on a system-wide basis was also being evaluated, prompted by social changes occurring in the larger culture of the country. The Navy was faced with erosion of traditional personnel benefits, adaptation to the “All Volunteer Force,” low retention rates, increased cost-consciousness, and drug abuse in its ranks. The need for an effective institutional response to these pressures became a pressing priority for the Navy’s leadership.

## **2. The Human Resources Management Program**

Admiral Zumwalt was the first Admiral to openly address these issues and began a thorough self-examination within the Navy. There were study groups, retention team evaluations and pilot groups. Because of his effort, the Navy embraced a Human Resource Management Program that served to combat the aforementioned problems and still exists today.

This program began by providing participants (in book form) an analysis of leadership styles and their likely consequences to the organization (U.S. Navy, 1972). Along with the book, the program offered a one-week course that covered organizational climate data gathering (using a survey instrument or personal interviews), data analysis, and feedback to the commanding officer. The course provided an avenue for the participants to learn how a development program could be implemented from issues identified during the data interpretation and feedback sessions.

Once all of the data were collected and fed back to Admiral Zumwalt, the Navy developed a plan to stress the principles of leadership, professionalism, responsibility,

authority, accountability, good order and discipline, morale, spirit and pride in uniform. All of these principles were reinforced through message traffic (from the top of the chain) and through Human Resource Management Centers, which were under the operational control of the fleet commanders. The major intended outcomes of the plan were to achieve an improved state of readiness, better communications, career and job satisfaction, reduction of adverse incidents, increased productivity, and, finally, improved leadership and human resource management practices at all levels (Weisner, 1973).

This Human Resource Management program was a chronologically sequenced series of overlapping action steps tailored to assist commanding officers in improving the overall effectiveness of their units. It had support from the top, was implemented in a top-down fashion, and appeared to have enough infrastructure in place to support its effective implementation.

In today's Navy, this program is known as the "Command Climate Survey," which is distributed yearly to all members of a particular command. After participants fill out the electronic questionnaire, the data is analyzed, and the commanding officer receives feedback. The commanding officer then briefs the chain of command on the identified problem areas and attempts to correct them through training, meetings and other mediums.

After the integration of blacks and the development of the Human Resource Management Program, the Navy was forced to evaluate other culturally sensitive issues, specifically those of women in the Navy, sexual harassment (zero tolerance) and drug abuse (zero tolerance). With each of these issues, the Navy has come out with initial policies stating the required actions each commanding officer must take, and then has revised them as feedback has been provided. The following examples clarify how these developments came about.

### **3. Women in the Navy**

In the 1970s, three pressures affected how the Navy utilized its women. "Policy Z-116 opened numerous ratings to women which had previously been excluded, Congress opened the path for women to become Admirals and enter the Naval Academy" (Ebbert and Beth Hall, 1999). Policies to allow women into the aforementioned jobs, ranks and schools came from Presidential direction. Unfortunately, top-down

implementation of policy does not allow the “troops” to immediately embrace it as part of their culture. Women at the Naval Academy were “subjected to a steady barrage of insulting remarks, had food thrown in their rooms at night and some were molested” (Ebbert and Hall, 1999). The changes in Z-116 were so extensive and intricate that it took the Navy two decades to implement them fully. And, as history shows, it took Congressional action once again—on April 29, 1993—to include women in combat. The Navy’s approach to integrating women into the service has been one of issuing policy stating that it will happen and then directives on how to educate the troops. Again, the Navy appears to have used a top-down type of implementation.

The Navy has experienced a few public bruises in its campaign to ensure equality for women. “Tailhook,” an aviation conference that took place in the early 1990s, brought this issue of equality to the forefront once again and created an avenue for all military members to openly address the issue of sexual harassment. The Navy’s first policy on sexual harassment stated that it was unacceptable conduct and that commanding officers should give due consideration to separating members from active service if they were found guilty of this charge. Again, as in the previous examples, the Navy has revised its policy and developed clearer definitions of what actions do and do not constitute sexual harassment. The Navy also provided tools to service members (green light, yellow light, and red light) to help them communicate to their co-workers if they are offended or not. Yearly training on the subject of sexual harassment, currently given in the form of a video presentation and active discussion, is now mandatory. “Tailhook” also led to one of the first instances of the “stand-down” procedure, which requires the entire Navy stop work for one day to focus on a single issue. During this training session, videos are shown, discussions are held, training is given, and telephone numbers are handed out to service members to call (Office of the Inspector General) if they believe their situation is not being handled at the local level.

#### **4. Drug Abuse in the Navy**

The Navy has a “zero tolerance” policy regarding illegal drug use. On the web page [www.cnrc.navy.mil/cntc/dep/policy.htm](http://www.cnrc.navy.mil/cntc/dep/policy.htm), the Navy states that members are immediately separated for a first positive drug test. However, this is more often than not left up to the discretion of the commanding officer. Not all service members are

separated on their first offense, especially in light of the retention and recruiting problems that the Navy is currently experiencing. Many service members are offered a chance to cross-rate (if they hold a clearance) or are given a second chance. This is another example of how a rigid top-down policy is incongruent with the needs of the Navy. When commanding officers evaluate manpower needs, they may overlook a first illegal drug offense and opt to take the service member to captain's mast instead.

## **5. Total Quality Leadership**

Along with these culturally sensitive issues, the Navy also has attempted to conduct large-scale changes, specifically in leadership. The most recent, and probably the widest known, is a management tool called Total Quality Leadership (TQL). TQL differs from the above-mentioned programs in that its aim is not to decrease tension among individuals, but rather to cultivate throughout the Navy the kind of leadership developed in the programs that dealt with culturally sensitive issues. The Department of the Navy used Total Quality Leadership (TQL) in an attempt to parallel the policies that Navy had already put in place.

TQL, originally used by the Japanese, is a quality management method developed by Dr. Deming. In 1984, The Naval Material Command tasked the Navy Personnel Research and Development Center (NPRDC) to investigate the feasibility of using statistical process control and other quality management methods applied in industry and public sector organizations to improve mission performance in Naval organizations. As a result, a pilot effort was initiated at Naval Aviation Depot, North Island, CA to test a quality management approach. Then, in 1985, Military and civilian Naval personnel developed a definition for Total Quality Management (TQM), specified its elements, and outlined an implementation approach for organizations, which was the first time they (civilian and military) worked together in a public venue on this subject. In 1988, TQL gained even more credibility when the Secretary of Defense wrote to the Secretaries of the Military Departments, the Chairman of the Joint Chiefs of Staff, and others to give his support to TQM as a top priority. Because of this, the DON published a Department of the Navy Total Quality Management Implementation Plan (revised in April 1989) that described TQM as "a new way of doing business [in the DON], which focuses on process improvement."

Once TQL gained approval from the flag officers, others, such as the Under Secretary of Defense for Acquisition, announced that TQM was a key ingredient to improving the defense acquisition system (1989). The CNO then expanded the quality concepts and methods of Navy operational units by replacing the label TQM with TQL to emphasize the critical role of operational leaders in the practice of total quality (1990). The fleet CINC's also embraced this new leadership tool and, in 1991, they authorized the creation of five mobile training teams composed of active duty Fleet personnel responsible for education, training and basic consultation in improving quality in selected ships and squadrons. Because it is often difficult to get the operational units involved and actively participating, the acceptance by the fleet CINC's marked a significant milestone of ownership for the TQL process in the Navy.

After the fleet CINC's approved, the word began to filter down to more-junior personnel through publications in magazines such as "All Hands." In 1991, "All Hands" quoted the Secretary of the Navy's testimony to Congress on the FY92/93 budget: "We are strategically planning for a more productive organizational structure using the guidelines of Total Quality Leadership." In 1992, TQL schoolhouses in Coronado and Norfolk were fully staffed and operating. Once this began, the Navy shifted its focus toward obtaining feedback to determine how effectively TQL was functioning. In 1994, the GAO selected six federal agencies to be studied (in depth) to determine whether or not DoD had been successful in implementing TQL. The purpose was to report to Congress on barriers to TQM/TQL. One of the six studied was a DON organization. While the results were not known for a few years, the Secretary of Defense continued to support TQL and wrote to the Secretaries of the Military Departments and the Chairman of the Joint Chiefs of Staff (1996) urging them all to implement continual improvement practices. The support, however, began to slow, as illustrated by the Under Secretary of the Navy disbanding the TQM office and refocusing corporate efforts on "The Revolution in Business Affairs." He disbanded the office because he believed that TQM had been inculcated throughout the Department of the Navy. Since 1998, the Department of the Navy has continued to participate in the Presidential Quality Awards with numerous winners and finalists, but the TQL office no longer exists, and the concept is no longer being pushed throughout the DON.

What this change method shows is that the Navy is capable of generating change from within and has done so without external variables forcing it to. In almost every case, after the decision to change was made, top leadership came to some conclusions, made a decision, formed committees to evaluate the effectiveness of the decision, and then mandated the integration or program throughout the entire fleet. There is no mention in any of the above examples of how junior enlistees or officers were consulted and how these decisions might have affected their lives or have been implemented more effectively. Again, this appears to be another demonstration of a top-down change method.

Top-down change, while having been effective for the Navy, appears to be a shortsighted approach to future change within the Navy. Appreciative Inquiry, discussed in the next section, is one approach toward implementing a new type of large group intervention change.

### **C. WHAT IS APPRECIATIVE INQUIRY?**

Organizations are being forced—through technological advances, cultural shifts and the post-industrial revolution—to dismantle traditional hierarchical boundaries, and the Navy is no exception. Peter Senge talks about organizational shifts in *The Fifth Discipline*, stating that successful organizations are ones that innovate rather than merely adapt; they “learn how to learn” (Senge, 1990). Modern organizations must create contexts in which members can continually learn and experiment, think systematically, question their assumptions and mental models, engage in meaningful dialogue, and create visions that energize action (Barrett, 1995).

There are two primary ways in which organizations can create visions for change: adaptive learning and generative learning. Adaptive learning focuses on current problems, which accept the constraints that generated the problem. This rarely leads to a permanent solution; instead, it often leads to a pattern of coping and incremental changes. Innovation, however, requires generative learning. Generative learning focuses on continuous experimentation and systematic rather than fragmented thinking; it goes beyond the constraints that generated the original problem. Barrett explains that generative learning uses innovation to transcend previously imagined limitations and to challenge current paradigms (i.e., the implementation of virtual teams). Table 1

illustrates the difference between problem solving (adaptive learning) and Appreciative Inquiry (generative learning) (Cooperrider and Whitney, 1999):

<b>PROBLEM SOLVING</b>	<b>APPRECIATIVE INQUIRY</b>
“Felt Need” Identification of Problem	Appreciating and Valuing the Best of “What Is”
Analysis of Causes	Envisioning “What Might Be”
Action Planning (Treatment)	Dialoguing “What Should Be”
Basic Assumption: An Organization is a problem to be solved	Basic Assumption: An Organization is a mystery to be embraced.

Table 1. The Differences Between Problem Solving and Appreciative Inquiry (From: Cooperrider and Whitney, 1999)

Appreciative Inquiry is a tool for connecting organizations to their positive change core by opening every strength, innovation, achievement, imaginative story, hope, positive tradition, passion and dream to systematically inquire (Cooperrider & Whitney, 1999). It is based on the premise that human systems grow and construct their future realities in the direction of what they most persistently, actively, and collectively ask questions about (Ludema & Mantel, 2000). AI is what Peter Senge would call a “learning organization.” Carrying this into organizational development gives us a philosophy and methodology that emphasize the capacity of organizations for positive change and ongoing adaptability (Whitney & Chau, 1998). To *appreciate* means to value what is best about something. *Inquiry* is the search for information through questioning. The art of appreciation is the art of discovering and valuing those factors that give life to an organization, of identifying what is best in the current organization (Barrett, 1995).

Appreciative Inquiry involves a bottom-up interview process where almost all organizational members are interviewed to uncover the “life giving forces” in the organization (Bushe, 1999). Appreciative Inquiry takes the best of “what is/was” from each participant and joins these ideas together to stimulate a collective imagination of “what can be.” It began with a landmark project conducted at the Cleveland Clinic in

Ohio, while its founders David Cooperrider and Frank Barrett (and graduate advisor Suresh Srivastva) were graduate students at Case Western Reserve University (Bloom & Whitney, 1998).

At the Cleveland Clinic, health was measured in terms of how many things were wrong with a person (deficit-based). This is known as a disease-centered approach, which views a healthy body as one without disease. Dr. Cooperrider et al proposed that the Clinic view health from just the opposite perspective, which essentially argued that health, was not the mere absence of disease (Nystrom, 2001). With this viewpoint, they began to evaluate and foster the healthy aspects of medicine that are often not recognized at first sight. They did this through interview questions that spurred conversations among the 400-member physician group.

What they found is that interviews allow people to create their own dialogue about the issue at hand (in this case, medicine) when it is at its best. Second, they noticed that, because their line of questioning was “out of the norm,” news of the inquiry spread quickly, and other people began to discuss their organizational strengths and positive experiences in the medical profession. Third, they discovered that this positive inquiry increased people’s attention to the issues of medicine and their organization, which, in turn, increased the value they placed on the desired behaviors that project initially set out to study. Paradigms, myths, beliefs and cultural practices were altered.

Since this landmark project at the Cleveland Ohio Clinic, Appreciative Inquiry has been a part of organizational change within several large organizations, including GTE, British Airways, Red Cross, Hunter Douglas, Roadway, North American Steel and Nutriment Foods.

Appreciative Inquiry leverages possibility by exploring the “Positive Core” of an organization through a process called the “4-D” cycle (Cooperrider & Whitney, 2000). The core of the “4-D” Cycle is the *Affirmative Topic Choice*, which, as Dr. Cooperrider points out, is the most important part of any AI endeavor because the seeds of change are implicit in the very first question that is asked (Cooperrider and Whitney, 1999). Questions set the stage for what may be discovered and can often create a future reality. It’s important to remember that there is no formula for Appreciative Inquiry and that each



AI process is homegrown around the topic choice and four phases that occur during an Appreciative Inquiry Organization Summit (Cooperrider & Whitney, 1999):

- *The Discovery Phase.* In the Discovery Phase, the art of interviewing and questioning is refined. The task is to disclose positive capacity through appreciative interviews where questions are crafted around the Affirmative Topic Choice. Towards the end, participants reflect on interview highlights, each appreciating and everyone being appreciated—hope grows and community expands.
- *The Dream Phase.* In the Dream Phase, people are asked to envision the organization's greatest potential for positive influence and impact on the world. Participants share dreams collected during the interviews and create and present dramatic enactments. This connects participants with a vision and a larger picture of what the organization is being called upon to do.
- *The Design Phase.* In the Design Phase, the focus is on crafting an organization in which the positive change core is boldly alive in all strategies, processes, systems, decisions and collaborations. Participants identify high-impact design elements and create an organizational design. They also draft design statements incorporating the positive change core.
- *The Destiny Phase.* In the Destiny Phase, participants are invited to take action based on by the days of discovery, dream and design. Commitments are made to ensure that design statements are realized. Participants publicly declare intended actions and ask for support, and self-selected groups plan next steps.

The hypothesis shared by Dr. Cooperrider and Dr. Whitney is that when AI is conducted as a whole-systems approach moving through the “4-D” Cycle, the positive core becomes the explicit and common property of all, instead of just a few upper-level managers.

Because Appreciative Inquiry is a positive-based method of inquiring into problems and captures what people do best within organizations (or vice versa), the

continuum of success is expanded to overshadow the continuum of failure. Much like GTE, the United States Navy is at a point at which it cannot afford to look at its failures in hopes of finding solutions. The Navy must make a 90-degree turn now if it wants to remain competitive in retaining talented personnel and myriad other issues. Appreciative Inquiry provides senior Navy leadership a means to communicate a strong message to the fleet that our leadership is serious about change and about engaging the fleet in the process of change. Hence, the concept of Appreciative Inquiry as a large group intervention process was adopted.

### **III. TELLING THE STORY**

#### **A. INTRODUCTION: HOW DID THE PROCESS BEGIN?**

This chapter documents the introduction of Appreciative Inquiry to the Department of the Navy. Specifically, it chronicles the events leading from the first Executive Steering Committee meeting to the Leadership Summit. However, before looking at this chronology, it is important to discover how these events came about—in particular, the introduction of 360-degree feedback to the Chief of Naval Operations and the birth of the concept of a "Leadership Summit." Detailed sequences of events and discussion, as well as relevant products from each event, are included in Appendix.

Appreciative Inquiry became a viable option for the Navy in 2000 when the Center for Executive Education (CEE) at the Naval Postgraduate School in Monterey, California hosted the first "30-Something" course, which was sponsored by Jerry Hultin, then Under Secretary of the Navy.

This course was designed to tap into the ideas of the Navy's junior executives and share them with the senior leadership of the Navy. There was an important turning point for the "30-Something" participants about 15 days into the program, when Dr. Frank Barrett introduced the topic of Appreciative Inquiry.

While this group of "30-Somethings" used Appreciative Inquiry as a mechanism in the way they were thinking, they did not brief this specific concept to the flag level officers and civilians in February 2000. Instead, they discussed the idea of 360-degree feedback, a multi-dimensional leadership development tool that draws upon the knowledge of people within a person's own circle of influence: supervisors, peers, and direct reports. When they discussed the concept of 360-degree feedback from an Appreciative Inquiry perspective, the participants discovered that what they really sought was outstanding leadership in the Navy.

LCDR David Nystrom chose 360-degree feedback as his thesis topic and began to see that the Navy incurs a negative consequence when it develops leaders with deficit-based mindsets. He began working with Dr. Barrett and attended a conference with Dr. Cooperrider, one of the founders of Appreciative Inquiry. He also talked to Professor

Barry Frew, the director of the CEE, about the strategic perspective of Appreciative Inquiry and how it could be applied throughout the Navy in a Summit on leadership.

Professor Barry Frew set up a meeting with Jerry Hultin, who embraced the concept of Appreciative Inquiry and spoke with the incoming CNO, ADM Vern Clark, about this concept. When Professor Frew went out to give the first reunion of the Revolution in Business Practices (flag-level) workshop, he introduced the concept of Appreciative Inquiry to ADM Clark. After a few months, LCDR Nystrom, Dr. Barrett and Dr. Cooperrider were invited to explain in more detail the concept of Appreciative Inquiry to the CNO and to interview him about his experiences in the Navy.

The CNO embraced the use of Appreciative Inquiry and ordered 500 pamphlets for Navy flag officers. LCDR Nystrom, Dr. Barrett, Dr. Cooperrider and Professor Barry Frew organized a Leadership Summit Steering Committee to introduce Appreciative Inquiry to other flag-level, mid-grade and junior officers, as well as some enlisted and Naval Academy personnel, and to obtain their feedback on the feasibility of implementation and topic selection.

In April 2001, the CEE convened a second “30-Something” course in which LCDR Nystrom and Dr. Barrett spoke to the participants about the interest Appreciative Inquiry had generated throughout the Navy. Captain Mark Zipsie and LT Paul Tripp approached LCDR Nystrom and Dr. Barrett and asked to be a part of this process of introduction. They expressed interest in using AI LGI as a method of change within the Marine Corps. That was the basis for this thesis.

## **B. LEADERSHIP SUMMIT STEERING COMMITTEE**

The Leadership Summit Steering Committee met in May 2001. A cross section of the Navy and Marine Corps met at the Naval Postgraduate School’s Center for Executive Education. For three days the committee met to plan details of the “Leadership Summit” and were introduced to the summit model of large group intervention using an Appreciative Inquiry framework. Drs. Cooperrider and Barrett, pioneers in the field of Appreciative Inquiry and facilitators of Large Group Interventions, guided the Steering Committee meeting. Thesis authors, Paul Tripp and Mark Zipsie, attended and chronicled the event throughout the three-day process.

## **1. The Summit Model and the Role of the Steering Committee**

The large group intervention using Appreciative Inquiry has been used to great effect in many organizations in both the corporate and non-profit arenas. The large group intervention gathers a horizontal and vertical cross section of the organization to conduct five general tasks in a compressed time frame: (1) review the past; (2) explore the present; (3) create an ideal future scenario; (4) identify common ground; and (5) make action plans.

Getting the whole system in the room to create a shared vision of destiny has been very effective in producing rapid collaborative change. It is sometimes recommended for large organizations to accomplish some detailed groundwork prior to a summit. A Steering Committee provides direction to a Summit and accomplishes some basic tasks in order to save time at a later date. These tasks include determining an appropriate title for the summit, identifying stakeholders, and designing appreciative inquiry interview questions. Like the Summit itself, the Steering Committee represents a cross section of the organization and helps to ensure that eventual attendees are comfortable with the process (Cooperrider and Whitney, 1999).

Drs. Barrett and Cooperrider facilitated the meeting, during which the Steering Committee learned about Appreciative Inquiry and the summit model. The members then discussed the design and potential of the summit in view of Admiral Clark's vision for the Navy and their own.

## **2. The Steering Committee's Purpose**

The Executive Steering Committee was formed in order to learn about the process of Appreciate Inquiry so that it could make decisions regarding a large group intervention for the Navy (Appendix A gives a detailed summary of the events of the three day meeting). The Leadership Summit Steering Committee was formed to

    bless the overall project in concept, then to design and approve follow-on actions and a timeline. In addition, it decided the composition of the Design/Interview team and summit participants (Nystrom, 2000).

Underlying all these goals was the implied task of determining applicability and relevance of Appreciative-Inquiry-based LGIs to the U.S. Navy. The Steering Committee consisted of one Seaman (E-3), two Petty Officers (E-5 and E-6), one Master

Chief (E-9), one Midshipman, two Navy Lieutenants (O-3), One Navy Lieutenant Commander (O-4), one USMC Major (O-4), One Navy Commander (O-5), two Navy Captains (O-6), one SES, one Rear Admiral (O-7), one Rear Admiral (O-8), and four Vice Admirals (O-9).

The “Leadership Summit” began as an idea in a thesis to capture the Navy’s “Positive Core” about leadership and serve as a springboard to launch a pilot 360-degree feedback program. After three days of discussion, the Steering Committee focused the summit on “developing outstanding and enlightened leadership.”

### **3. Products of the Steering Committee**

The Executive Steering Committee decided that a Summit should be held under the title: ***Bold and enlightened Naval Leaders at every level; Forging an empowered culture of excellence.*** The final proposal from the summit attendees, the Executive Summary and the full membership is included in Appendices A and B. The Steering Committee’s recommendations to the CNO were to hold a three- or four-day summit using the Appreciative Inquiry Summit model, in either October or November FY02. The committee intended to form a 30-person interview team to discover and collect exemplary examples of leadership (300+ interviews) and crafted a starting interview protocol. One of the strongest recommendations was to have the CNO present for the entire summit (the thought was that a summit on “leadership” should not be done without “the leadership” present); therefore, it was determined that the dates of the summit would be largely driven by the CNO’s availability. The size of the summit was placed at around 220 personnel, and the location chosen was the Naval Postgraduate School in Monterey, CA. The total estimated amount of resources was \$350K, of which \$100K would be from the VCNO.

The committee also determined that four types of people must be present at the summit: people with expertise and experience in the topic; people with power to empower; people with formal and informal authority; and people that bring or can build commitment. There was a general consensus that the ultimate outcome from this summit was unknown (besides some of the strategic items) and that the discovery of ideas was one of the primary reasons for conducting the summit. Change would likely focus on

how we develop leaders (education & training, personnel distribution and incentive systems). Some of the expected outcomes discussed by the Steering Committee included: creating a shared vision of the kind of leadership the Navy is calling for in its future; generating a set of ideas/change initiatives to realize that vision; creating alignment among the stakeholders; empowering participants to carry forward these ideas and change initiatives; and changing “self-talk” from negative to positive imbalance.

One of the participants of the Executive Steering Committee was the Master Chief Petty Officer of the Navy (MCPON), Master Chief Herdt. During the meeting, he spoke of shared vision and creating alignment. As the following section will show, Master Chief Herdt took this dream and made it a reality at the first-ever Command Master Chief Conference in Dallas, TX. This was one of the first examples of how the decisions made during the Executive Steering Committee impacted “big” Navy.

### **C. COMMAND MASTER CHIEF CONFERENCE**

After participating in the Executive Steering Committee meeting, the MCPON ensured that Appreciative Inquiry would be a topic covered during the first worldwide Command Master Chief (CMC) Symposium, held in Dallas, Texas on 25-26 June 2001. This conference included CMCs from around the world whose commands included more than 270 personnel. The conference was unique for a few reasons. First, it was the first time that a CMC conference had ever included CMCs from the entire Navy. Second, it had approval and buy-in from top leadership, as exemplified by the CNO, ADM Vern Clark who came to speak. And last, but certainly not least, this was the first time the concept of AI was introduced to a large group of Navy Personnel. While the CNO did not endorse AI as one of the future directions for the Navy, he strongly encouraged the CMCs to sit up, listen, and begin to be more accountable for their personnel through different management methods—and he mentioned AI as one alternative to do that. He introduced the concept of Appreciative Inquiry by stating:

Appreciative Inquiry is a tool, an investment in your professional development. This is one of the greatest tools that will help us lead this organization and implement change within leadership that will lead us into the 21<sup>st</sup> century (ADM Vern Clark).

He asked the CMCs to be attentive to the brief and to think about how, if we declare victory in our self-talk, the difference it will make in our war for people. ADM

Clark ended his speech by stating:

I think it is essential that we are who we say we are. Message mismatch is a huge problem—in every organization, but specifically in ours. We need pragmatic solutions that work (ADM Vern Clark).

The CNO spoke about how today's young people do not want to be taken care of; they want a chance to prove that they can make a difference. So, he recommended that the CMCs don't talk about taking care of them, but, instead, talk about and tell them how they will be given a chance to make a difference. "This is the truest example I can give you why I talk about covenant leadership," ADM Clark stated.

After the CNO spoke, Dr. Cooperrider presented the concept of Appreciative Inquiry. He appeared to connect with the CMCs when he illustrated to them that complexities within large organizations are not exclusive to the Navy:

American Express has 90 levels of hierarchy and they are struggling with how to understand future leadership will occur. What they have realized is that ideas are jumping all over the scale and new ideas are sprouting up everywhere . . . This sounds like what is happening in this organization as well.

As mentioned above, this was the first time that CMCs from around the Navy were given a chance to hear one another speak out in this format. Their visions for the future were a rededication to our people and the mission: more money in paychecks; the ability to empower the E-6s more, to modernize equipment and facilities with ample spare parts and cut back on the administrative stuff; to minimize the gap between blue shirts and khakis and to quit treating enlisted men like conscripts—forget painting and food service attendance. The feedback that Dr. Cooperrider received from the CMCs was very positive. They appeared to appreciate that their leader, ADM Clark, had taken the time to acknowledge the importance of their input and that they were being given more tools to manage people and a forum for communicating.

This was the first large-scale Naval conference, outside of the Executive Steering Committee meeting, at which the concept of Appreciate Inquiry was shared. The CNO contributed to the validity of the conclusions set forth by the ESC and opened a path for the Summit to take place. As the ESC discussed, the next step toward making a Summit happen was to assemble an interview team that would gather leadership stories from



around the Navy. The next section discusses the interview process.

## **D. INTERVIEW PROCESS**

### **1. The Collection of Stories and Data**

The Executive Steering Committee decided to formulate an interview team to go out and conduct interviews about leadership throughout the entire Navy for the Appreciative Inquiry Summit. This was presented to the CNO in the Executive Summary drafted by LCDR Dave Nystrom. The Leadership Summit interview team met in Monterey, CA from 01-02 August at the Naval Postgraduate School. Participants represented the Surface, Aviation, Supply, Submarine, Special Operations, Fleet Support, Civilian, Marine Corps, Civil Engineering Corps, Intelligence and Medical Corps communities. Those attending were officer, enlisted, and civilian. Dr. Barrett, Dr. Fry from Case Western University, and LCDR Nystrom presented material for this Leadership Summit interview team meeting. Much like the previous format (at the Executive Steering Committee and the Command Master Chief Conference), Dr. Barrett and Dr. Fry introduced this group to the Appreciative Inquiry process through a brief presentation on how western civilization is changing. What made this presentation different from the others is that Dr. Fry reiterated the need to get the “whole system” in the room in order for change to take place. He called this group the “stakeholder” group, who has equal voices, who have the power to implement changes in a large group setting and throughout the culture of the specific organization. These interview team members were shown how they contribute to this “stakeholder” process and how their interviews would have a significant impact in allowing others to hear people’s opinions from around the Navy. Dr. Fry continually stressed that the only way to establish this is through the telling of stories. He encouraged this group to go out and collect great stories about individual and group accomplishments that would help shape the Appreciative Inquiry Summit (for a more complete breakdown of Dr. Fry’s presentation, see Appendix C). Each interviewer had the opportunity to conduct an interview during this workshop and also received the list of questions and paperwork (Appendix C) to fill out when conducting the real interviews. Each member had one month to conduct ten interviews; September 15 was the deadline for turning in the interview data so they could be analyzed. Much like the participants at the previous two meetings, members appeared

reluctant to embrace something new. Many of them talked about how TQL had failed and expressed the same fear about Appreciative Inquiry. Group discussion helped alleviate some of their fears and enabled them to feel comfortable enough to agree to conduct the interviews. (After the workshop, Interview Protocol Consent Forms had to be generated; these are included in Appendix C).

## **2. The Best Interviews and Feedback**

When the interview team came back to the Naval Postgraduate School on 10 October 2001 (six from the original group came back only six of the original 50?), they chose fifteen of their favorite stories, which they believed best represented the flavor of what they were trying to capture in their interviews (the master list of all interviews is included in Appendix B. The story numbers match that of the master list of stories as used in ATLAS during the qualitative data analysis. See Chapter IV for an explanation of the qualitative data analysis process.) The stories that this group chose as their favorites were story numbers: 39, 43, 124, 166, 233, 8, 11, 62, 145, 178 and 179. The team members identified some of the themes of these stories as follows: the future of the Navy; tools for the enlisted sailors; tenacious and compassionate mentoring; taking a chance; mentoring/boundary crossing (horizontal); doing the right thing; and trust and empowerment.

The feedback that the team gave LCDR Nystrom concerning the interview process was very succinct and captured some of the known flaws that were identified right after the Interview Team Workshop. The biggest concern was time and length of the protocol. Almost all of them stated that it was much more time-consuming than they had expected it to be. Each interview took about eight hours of work, which was significantly higher than what was initially proposed to them. They also stated that tape recorders are a must for this interview process and that the instructions were difficult to follow. A complete compilation of the feedback can be found in Appendix C.

## **E. SUMMARY**

What started as a “30-Something” class in April 2000 gave way to a much bigger process through the efforts of LCDR Nystrom (his thesis on 360-degree feedback), Dr. Barrett, Dr. Cooperrider, and Professor Barry Frew. The process that began with an

idea—that Appreciative Inquiry might have value for the Navy—illustrates the concept that one idea spawns another. And when the Executive Steering Committee met in June 2001, all of the previous ideas on 360-degree feedback, deficit-based mindsets, and making the Navy an employer of choice were brought together to organize a summit of: ***Bold and enlightened Naval Leaders at every level; Forging an empowered culture of excellence.***

The decisions of the Executive Steering Committee empowered people to spread the word and the excitement about a large group intervention. The first large-scale Naval conference where this excitement was shared was the Command Master Chief Conference in Dallas, TX, where both the CNO and MCPON spoke of the need for change.

Another of ESC's ideas that came to fruition was the interview team and the process of gathering leadership stories. As chapter IV illustrates, these leadership stories set the tone for the Summit and provided real-life examples that allowed people to relate to and embrace the different kinds of leadership that are desired in our Navy today. These stories, through qualitative data analysis, formed the backbone of concepts such as autonomy to act, personal attention, risk taking by leaders, and teamwork, to name a few.

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## **IV. STORIES OF EXCEPTIONAL LEADERSHIP**

### **A. INTRODUCTION OF THEORY TO QUALITATIVE ANALYSIS**

This chapter outlines the theory of qualitative analysis and discusses the methods used during the data collection process, specifically as they pertain to the interview team. The interview team consisted of 50 individuals who were invited to the Naval Postgraduate School to learn about the Appreciative Inquiry process and to go out and collect leadership stories throughout the Navy.

To highlight the process of qualitative data analysis, this chapter explains the process of defining codes and links and then identifying networks. Networks are then defined, including the title of the network, as well as the description and codes and the relationships within the each. Stories are included as supporting data for the identified themes and to show the relationships that exist within the networks.

It is important to note that these stories, through the process of qualitative data analysis, are what influenced the dialogue of the Summit. The stories were evaluated for themes and then linked together to generate concepts. These concepts were used to produce a “model” of what active duty Naval personnel defined as effective leadership. The participants received these data before the Summit began, allowing them to become familiar with leadership dialogue and concepts before their arrival and giving them a broad view of the qualities that contribute to effective leadership. It also allowed Dr. Barrett and Dr. Cooperrider to share in some “common dialogue” with the 250+ participants at the outset of the Summit, which contributed significantly to the building process that took place during the four-day event.

#### **1. Data Collection Method and Use of Software**

The 50-person interview team conducted 268 interviews and submitted them to the researchers over a period of two months. Interviewers were instructed to submit the two "best and most compelling" stories from each of ten interviews. As interviews arrived electronically, one member of the team collected demographic data and then forwarded them on to another member. Stories were then sorted, numbered, and placed a single text file. A total of 268 stories were collected (less four repeats). These data were

analyzed using ATLAS.ti software. Towards the end of the training, four persons began the coding process and identified codes without comments to get the process started. Since this was collaborative and subjective in nature, it was, at times, difficult to come to agreement on the meaning of the code and the process by which it was created. Using the comment block to define the codes later solved this problem.

## **2. Process of Identifying Codes, Networks and Links**

Coding began on 09 Oct. 2001. The first part of the process entailed reading the stories and generating codes that captured what the interviewee was trying to say. We identified and developed codes that spoke to themes of chain of command, challenges as a team, challenges individuals faced, and challenges that people faced and overcame. We also noticed that people stated that they felt empowered, but that this did not necessarily capture what they were trying to say. Through conversation, we determined that if the chain of command entered into a relationship with a sailor in which they exhibited trust for him or her upfront, this had many positive repercussions. This discussion led to the development of our first network, the "Trust-Empowerment" network, which included these codes: Increased Confidence; Risk Taking; Creates Self-Confidence; Autonomy to Act; Learning Opportunity; Sense of Achievement; and Seeing the Results of One's Efforts. With these codes, we began to capture the "flavor" of empowerment that the interviewees had described during the interview process.

We then determined that, when individuals get personal attention, positive outcomes occur as well. This discovery led to the development of our second network, "Attention to Relationships," which included these codes: Leaders Working Side By Side; Facilitates Incremental Learning; Accessibility; Tolerance of Mistakes; Approachability; and Recognition—Personal and Emotional Support. There were no assumed connections between these codes; the identifier of "somehow related" was given to each of them. There was a general consensus that these codes related to one another, but the researchers agreed to continue searching for more data before a specific classification was given.

It became apparent, in reviewing the next several stories that teamwork was occurring on numerous levels. During the first phase of analysis, it was determined that creating a network called "Teams" and including certain codes would be sufficient to draw attention

to a newly identified theme. These codes were: Teamwork–Vertical Crossing; Teamwork–Horizontal Crossing; and a generic code of Teamwork.

On 11 Oct., we came back together to continue coding. Again, the theme of relationships stood out for us. The codes Attention to Relationships, Patience, Pride in Professionalism and themes of career began to stand out. Education also began to emerge as a theme, specifically where individuals were allowed to assume control or were given control due to a system that supported this (future vision).

The process of coding continued; however, as the data became more complex, we needed to clarify the “end goal” of where our team—Barrett, Zipsie and Tripp—was headed. We needed to determine how we would tie links together (i.e., either as we identified them or after we had a sufficient amount of data to back up a hypothesis, which would require extensive “backtracking” and recoding), as well as how we would develop new codes. We decided that the main thrust of our work was to continue coding with the existing codes. We did make one significant change, however: we began to review the stories and define what the codes meant *explicitly*. We also started to identify new possible outstanding stories and recommended others for deletion (i.e., not include them in the analysis work).

As we began to recommend stories for deletion, we noticed that they shared a common vision or thought—a desire to implement more discipline and return to the more autocratic Navy of the past. When we first identified this theme, we made a note of it on paper and agreed to go back and attempt to recode these stories to see if this observation was significant. When we went back to recode them, we found several instances that spoke to this desire to implement more discipline—“like the old days”—which were part of the future-vision stories.

By October 15, we had coded up to story number 200, which included the rework (i.e., once a new code was identified, we went back through all of the previous stories to make sure that they did not have this theme, as well). In the process, we found that we had to redefine what some of our codes meant—“Personal-Support,” for example. We discovered that we had to go back and review the circumstances surrounding the support. For example, if a leader had stood up for a subordinate, had the subordinate followed his direction, or did the support occur after the subordinate took independent action? We had

not considered this possibility before, and after we reviewed our stories, we deleted this code from quite a few of them because it no longer applied to the original concept.

During this process, we inadvertently discovered a common link when people spoke about being influenced by their grandfathers, fathers or other veterans of the service. We created a code labeled “Generational Influence,” which meant that the interviewees were in some way influenced by previous generations (through their stories or actions) to sign up and serve their country. Due to the fact that the military services have struggled to recruit and retain service members, we believe this may be an untapped resource that can be utilized by the current leadership.

There were several stories that spoke of the interviewees’ desired “future vision of the Navy.” Because these stories spoke of the future, we created a family of codes named “Future Vision.” Within this category, we identified stories that were related to the future or to expanding the current reality. Thus, because some of the individuals discussed visions that did not currently exist, while others spoke of expanding existing realities, we created two types of codes within this one family of codes: “Future Vision” and “Expand Current Reality”.

Throughout the coding process, networks were continually defined and redefined. This process occurred both on paper and within the software of Atlas. The process of identifying networks while coding consisted mainly of conversations, particularly when codes were refined and relabeled. Once the coding was complete (26 Oct, 2001), we re-evaluated the major themes and discussed which types of codes had the most significant impact throughout the stories. We determined that the following six networks were the most accurate representation of the stories:

- Navy Opportunities
- Autonomy to Act
- Personal Attention
- Recognition–Personal
- Risk Taking by Leaders
- Teamwork

## **B. NETWORKS**



## **1. Navy Opportunities**

Figure 1 illustrates the network of Navy opportunities. The focus of this network is how opportunities within the Navy provide individuals unique opportunities to excel, enable them to feel as though they have contributed to a higher purpose, and give them a sense of personal achievement. This network also highlights the significant influence of previous generations on today's service members. Throughout the numerous interviews conducted, people stated that their decision to join the service was a direct result of a person whose service contribution had a positive impact on them when they were younger. This network and the stories also highlight the fact that when people are given opportunities to learn, their confidence is increased. Three central themes emerged from this network and are supported in the interview excerpts that appear later in this chapter:

- When leaders develop their subordinates professionally, education and professional opportunities increase, which contributes to individuals feeling a sense of achievement.
- Generational influence increases feelings of loyalty among future service members and plays an important role in their decision to join.
- The unique environment of the Navy presents adversity for people to overcome and challenges people to make a difference, which enhances feelings of having contributed to a higher purpose and gives a sense of achievement.

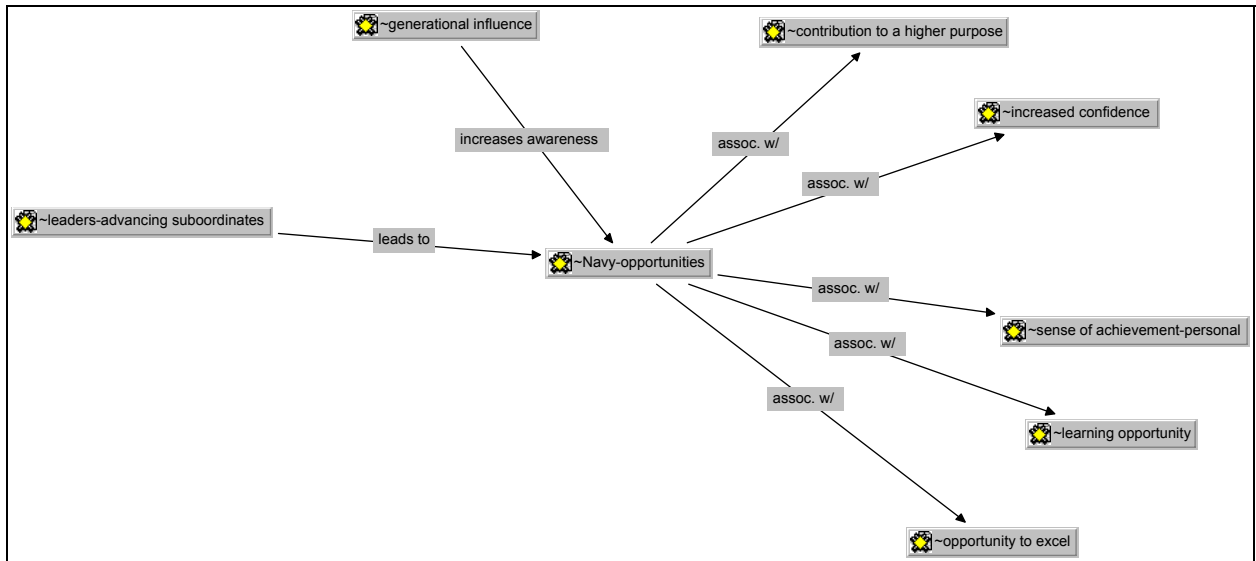


Figure 1: Network of Navy Opportunities

## 2. Autonomy to Act

Figure 2 shows the network of autonomy to act. The central focus of this network is leaders giving subordinates authority to act without excessive supervision. This autonomy leads individuals to feel a number of related emotions, such as trust, increased confidence and contribution to a higher purpose. Stories describe innovative solutions and opportunities for success resulting from situations in which individuals are allowed to make decisions and take action. The catalyst for this is when leaders show confidence in individual's abilities and tolerate mistakes as opportunities for learning by using the chain of command as intended.

- When leaders have confidence in the competence of subordinates, they allow individuals to take action. This fosters growth in individual confidence
- When leaders trust individuals to take action, subordinates tend to create innovative solutions to existing problems. These events are recognized by individuals as opportunities to excel.

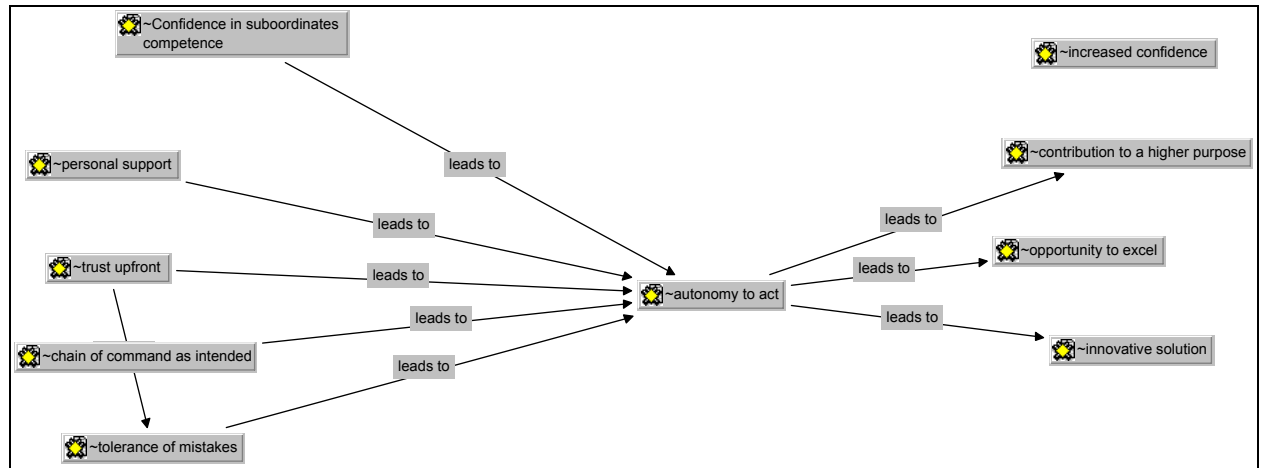


Figure 2: Network of Autonomy to Act

### 3. Recognition Personal

Figure 3 presents the network of personal recognition. The focus of this network is subordinates sensing that they can make a difference and have a positive impact within the organization when leaders recognize them on a personal level. In the stories that support this network, people use words such as “realization” and phrases such as “contributed to a higher purpose” to express that leaders are relating to them in exceptional ways. This, in turn, empowers them and impacts them positively. This network also illustrates that when challenges bring out skills and competencies an individual did not necessarily know he had, he feels a sense of achievement that is more important than either a formal or an informal award. Two central themes emerged from this network and are supported in the interviews that follow:

When leaders show that they care about their subordinates on an individual level, people’s commitment to make a difference is renewed, and they gain an understanding of the impact of their actions.

Recognition for overcoming a challenge, which entails discovery capacities, increases confidence and enables people to see how they have contributed to a higher purpose.

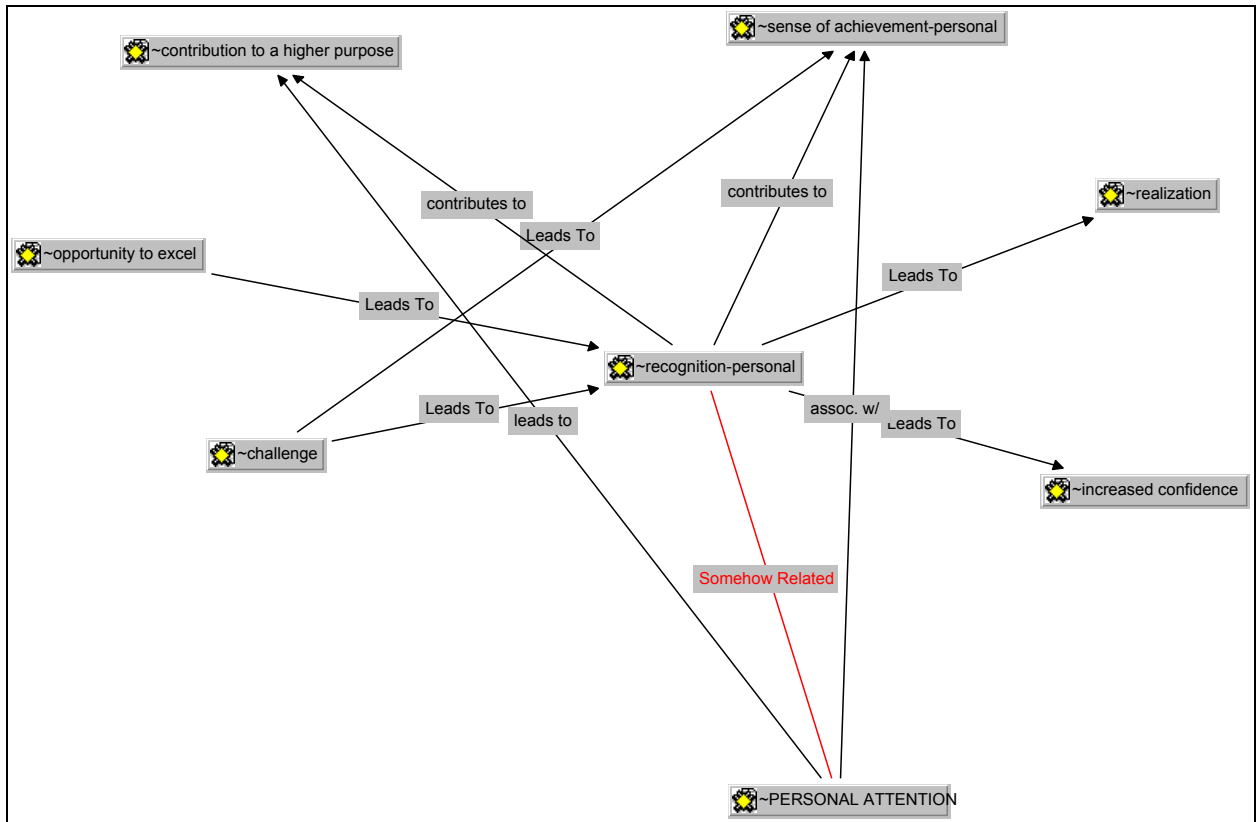


Figure 3: Network of Recognition Personal

#### 4. Teamwork

Figure 4 shows the network for teamwork. The focus of this network is the situations, challenges, relationships and actions that contribute to the formation of great teams—teams in which individuals cross vertical boundaries and have particular power to create good memories. The leaders in these teams show individuals respect, tolerate mistakes as learning opportunities, and lead by example in action. Great team accomplishment seems to increase feelings of individual achievement, confidence and feelings of contribution to a higher purpose. High-risk situations or challenges that members overcome as a team become memorable.

- When people work together as a team that crosses vertical organizational boundaries (rank), they feel an increased sense of personal achievement and contribution to a higher purpose

- People feel more a part of a team with leaders who respect individuals on a personal level, leaders who perceive their subordinates as honest and who work side by side to accomplish the mission.
- Overcoming challenges or completing a mission as a team inspires people and leads not only to a sense of achievement as a team but also personal achievement and contribution to a higher purpose.

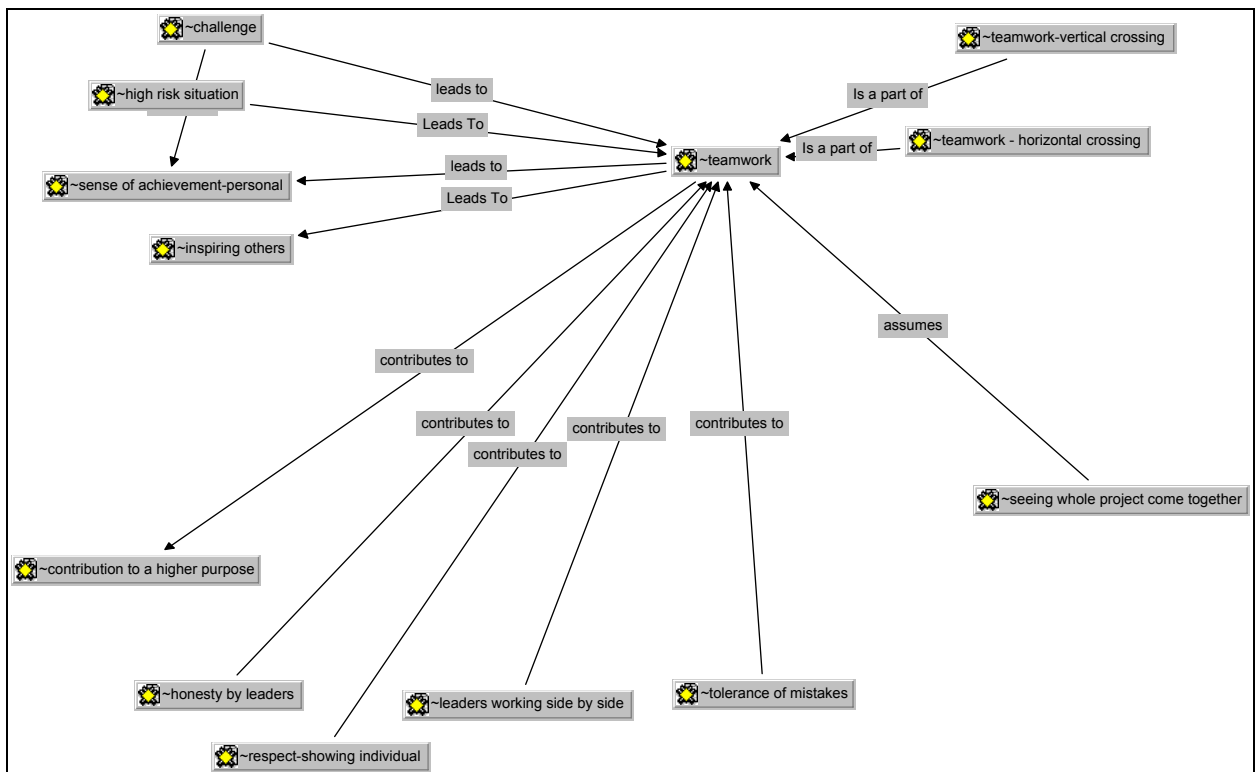


Figure 4: Network of Teamwork

## 5. Risk Taking by Leaders

Figure 5 illustrates the network of risk taking by leaders. The focus of this network is leaders who empower their people, regardless of the negative consequences they may suffer as a result of the risk. This network illustrates, through the interviews, leaders who have confidence in subordinates' competence and utilize the chain of command within a military structure as it was intended. This correct use gives people the autonomy to act, provides them with trust before completing a task, and allows for tolerance of mistakes—all of which foster an environment that is attentive to people's learning and development. Three central themes emerged from this network and are supported in the interviews that follow:

- Leaders who empower their people in spite of potentially personal negative consequences contribute to subordinates' learning and development.
- When leaders tolerate mistakes as a learning tool for personal growth, people state that trust appears unconditional, which contributes to the belief that confidence in subordinates' competence exists.
- Leaders who accept responsibility for the negative actions of their subordinates instill confidence and empower their people to trust the chain of command

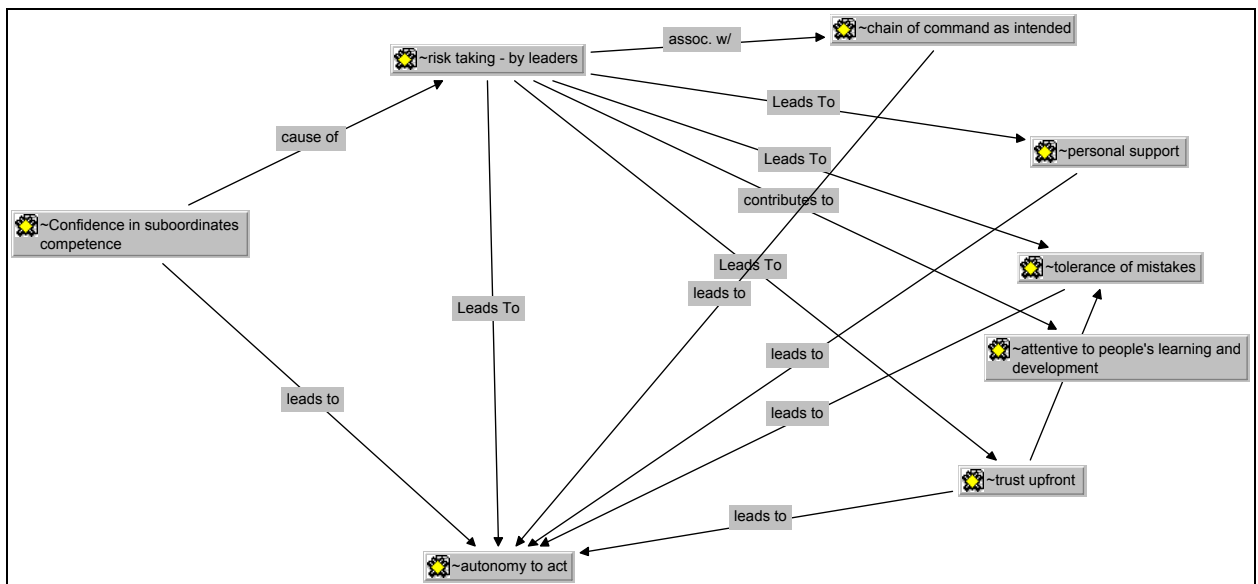


Figure 5: Network of Risk Taking by Leaders

## **6. Personal Attention**

Figure 6 presents the network of personal attention. The focus of this network is leaders showing that they care, on a personal level, about individual contribution and worth without regard to organizationally created class boundaries. This begins, in most cases, with approachability and accessibility a daily basis. Specific actions include support after a traumatic event or recognizing potential and providing long-term attention to the personal and professional development of individuals. These actions, over time, can create a trusting "family" climate in which subordinates feel that leaders truly care about them. This, in turn, can lead to Esprit de Corps and contribution to a higher purpose. Over the long term, people tend to remember these leaders' example and feel compelled to behave in a similar manner when in the same position later in their careers.

- Leaders who show personal attention to individual growth through learning (mentoring) inspire others to do the same when they are in a position of authority
- People who are attentive to individuals' learning and development create self-confidence in those they lead. The result is increased trust in the chain of command and an increased sense of teamwork.
- Approachable and accessible leaders who respect people on an individual level contribute to feelings of teamwork

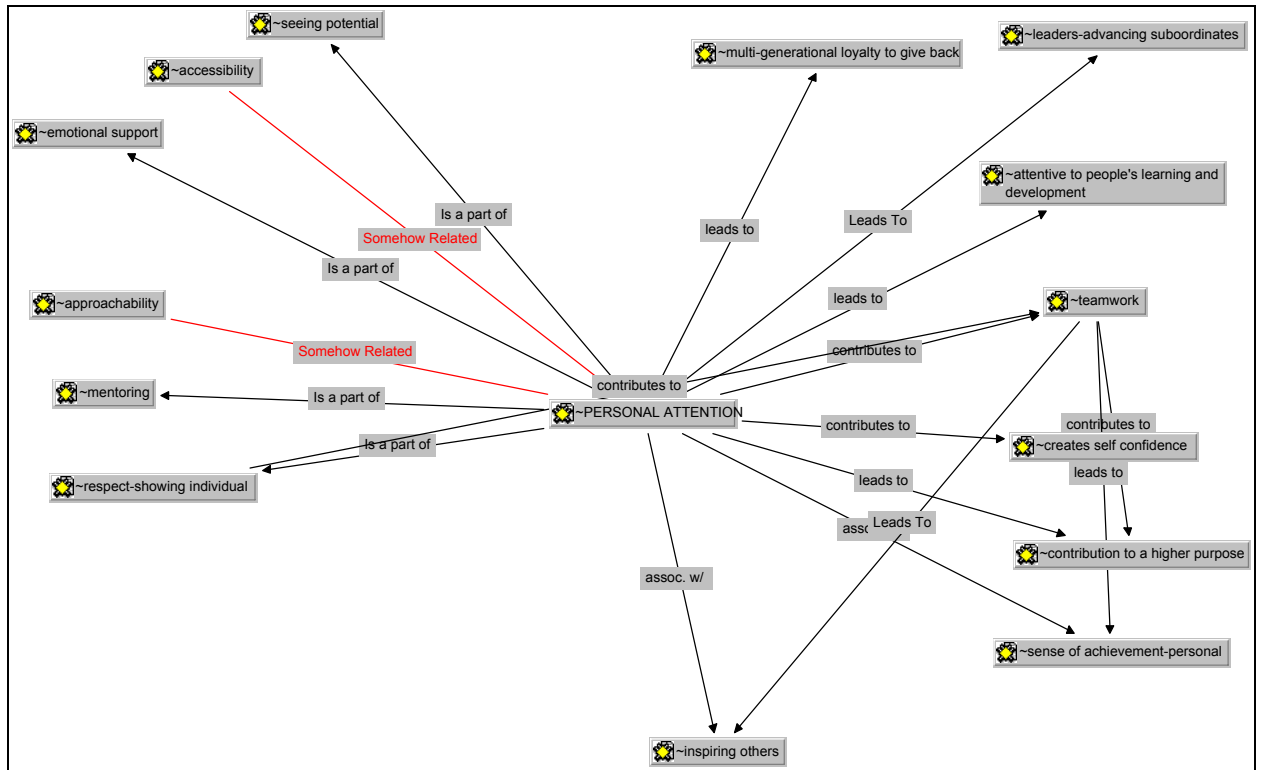


Figure 6: Network of Personal Attention

The aforementioned networks illustrate both preliminary themes and the codes that were developed during the qualitative analysis stage. The next several sections showcase the stories collected during the interview process. These stories not only serve as a basis to understand the codes, but also help to define the stated themes.

## C. THEME I: PEOPLE VALUE THE UNIQUE OPPORTUNITIES THAT THE NAVY PROVIDES

### 1. Theme

When people have opportunities to excel and a chance to make a difference, they attain a higher individual sense of purpose and meaning. The sense of belonging to something larger than oneself creates commitment to each other and the Navy. This raises intrinsic standards of excellence and motivation to “not let one’s shipmates down.” With higher successes comes an increase in self-confidence and a sense of personal achievement.

### 2. Justification

Opportunities to excel usually come about in adverse situations. During these times, conditions or circumstances force change, and people recognize their opportunities



to excel and make a difference. People tend to think of these moments as significant because they felt a part of the larger organization and had an individual sense of purpose. Many of the people interviewed stated that these opportunities were unique to the Navy and the environment that exists within the military. A young man in boot camp illustrates this unique Navy environment through his story of an obstacle course:

118. During battle stations in boot camp we were getting near the end of the training evolution. We were on the second to last thing, which was the obstacle course. I was on the first team of two teams; one team would go one way and the other team would go the other way. The instructors would make up scenarios as you go through on the course. You would put to use everything you learned in boot camp to make it through the scenarios. The person that was leading the group was having trouble getting everybody past a certain obstacle, so the instructor told that person, "You have 30 seconds to get the people through or you're dead." 30 seconds came and went and we were still standing there, so the instructor pointed at me and said, "You! You're in charge!" And I stepped up and got us through the obstacle course. The influence that I think I had was to step up and take the challenge and get us over the hump that was keeping us from finishing the obstacle course. We eventually ended up being the only group that finished the course that day. Being able to step up under pressure and make the right judgment and think through the problem. That was something I learned that day that built my confidence up and, at the time, that's what I needed.

Another opportunity that is unique to the Navy is the way in which its "institutional influence" filters down through generations. The young men that were interviewed shared memories of their fathers and grandfathers who, even though they had no formal education, had no problem finding work after leaving the service. When they talked about the men in previous generations, they describe seeing a "pride in their eyes" when standing in uniform. These events influenced the young men, and many of them said that they felt "destined" to serve because they saw the positive impact it had on their families' lives. A good example of this is a Lieutenant Junior Grade who stated, "My father's influence on me to join the Navy was powerful," and went on to share his story:

102. I was a college dropout with very few work prospects or choices for my future. My father told me the Navy might be the solution. My father served during the Korean Conflict (1950-54). He was a high-school dropout who had minimal work prospects. He decided to join the Navy and learn a trade. He worked in the EN (Enginemen) rating. He was an E-3 when he left the Navy. He never had a problem finding a job after his service. In fact, he was hired straight away as a pipe fitter/welder

apprentice. He eventually retired as a welder. He always told me that if it weren't for the Navy, he'd still be working as a bus boy at a local restaurant without a trade and without a future. I've never regretted a single moment of my Naval service. I've earned my bachelor's and master's degrees on active duty and propelled in rank from E-1 to O-2E in eleven years. It's been a wonderful experience for me.

This Lieutenant Junior Grade made reference to his father's gratitude to the Navy for teaching him a trade, and it is clear that the son is now proud of his father. This sense of belonging to something bigger than oneself helps cultivate the pride and tradition that are unique to the Navy and, in turn, helps create commitment to one another, especially as a family unit. The following Lieutenant verbalized this when he talked about his father's influence upon him:

129. There exists in the Naval Service a pride and tradition that are unparalleled. I think that I was always destined to be in the Navy. My father was a Supply Corps Officer. My first vivid memory of the Navy goes back to when I was about four years old. The Blue Angels were flying around doing their death-defying stunts, wooing the crowd. I was sitting on my father's lap—as I said, I was about four. My dad was in his whites, and I was sitting there so proudly looking up at the jets and also at my Dad, who wore his uniform with pride, starched white, impeccable. I wanted to fly very badly, even knowing the potential danger that I would face. I didn't care; I wanted to serve. That was a common theme in my house when I was young. Place service above self. It is a theme that drives me even today. The Navy is an honorable profession, and I will continue to serve my country proudly.

When leaders give their people a chance to make a difference, they begin to feel as though they own a part of the process. This sense of ownership increases their commitment to the division and to the larger organization. One of the positive effects of this commitment is that it raises intrinsic standards and encourages people to think about their shipmates before themselves. A Second Class Petty Officer was given an opportunity, although junior in rank, to attempt to turn around divisional productivity. He learned that the more he empowered his people, the more they motivated themselves and the less he had to counsel and encourage them:

146. I was brand new onboard and a Second-Class Petty Officer. When I reported to the division morale was low, my fellow sailors were in various states of angst against the boat and the Navy. Every day, someone else was being formally counseled on his or her behavior and given Extra

Military Instruction. This was lowering morale even more. Division accomplishment was at an all time low. Sailors were doing the minimum to get by, working when someone was watching and sloughing off when out of sight. It didn't really matter to them, as they were there for at least twelve hours anyway. The first thing I did was inform the division that their liberty was dependent on the quantity and quality of work that they performed during the day. In the morning, I would dictate the requirements for the day and inspect prior to their departure on liberty. They were dumbfounded. Untrusting, they continued to work as before, and after twelve hours when they were ready to leave, I stopped them and questioned them on their work. They would answer that it wasn't finished and that they would do it tomorrow. I said, 'No. You will finish it today, as I previously stated.' They returned to work, and sometime around the fifteenth hour they finished, I inspected, and they went home. In the beginning it was difficult to gain their trust and show them that there was a better way to get the job done and see their families. After some time, ESL jobs began to get done, and productivity and morale in the division increased drastically. I didn't have to counsel them on their performance because I allowed them to motivate themselves based on their own goals. In fact, the quality of jobs increased, and they even anticipated work and got ahead. It was a self-perpetuating success. I used the one thing a sailor values most other than food liberty. I had made a difference to those who worked for me. I had proven my point: if you empower people and give them the right motivation, they will perform with pride and will even exceed your expectations on occasion. It happened to me and I made it happen for my division.

These service members' stories make it clear that giving people opportunities to excel contributes to a higher individual sense of purpose and meaning. Again, this sense of belonging to something larger than oneself is truly unique to the military environment and engenders commitment to each other and the Navy. Once this commitment is established, the concern of "not letting one's shipmates down" helps boost the success rate, both as individuals and as a unit, which contributes to an overall increase in self-confidence and a personal sense of achievement.

#### **D. THEME II: PEOPLE WHO FEEL TRUSTED BY THEIR SUPERIORS FEEL FREE TO TAKE AUTONOMOUS ACTION**

##### **1. Theme**

The experience of being trusted is often transformative, especially for the younger officer and enlisted personnel. It not only instills a sense of confidence, but it also inspires and invigorates them. When a senior person expressed confidence in them or put

them into situations that were challenging or “over their heads,” it actually changed their self-concepts. They began to see themselves as competent and able to meet new challenges. They tend to remember these experiences for the rest of their careers and often draw upon these influential leaders as models for their own behavior. These high points are also a time when they realize their capacity to contribute to a larger mission and higher purpose.

## **2. Justification**

The transformation has been noted in situations that involve some element of risk, either personal or situational. Because leaders trust their people to “do the right thing” in these situations, subordinates take autonomous action and experience success in the situation. This inspires them both in the moment and years later when they recollect moments that encouraged their commitment to the Navy. This next story describes the experience of a junior submarine officer who was allowed to be in charge of periscope operations during a challenging evolution that could have jeopardized the ship—as well as the careers of the CO and the subordinate. While the subordinate did not realize that he was ready for more responsibility, the Commanding Officer did, and he allowed this junior officer to succeed.

113. During a submarine operation, I was the OOD as a junior officer in place of one of the ship's department heads. During an unexpected event that required heavy use of the periscope under tenuous circumstances, the CO allowed me to continue driving the ship and conducting all periscope operations. Other than war, the ship was at the pinnacle of our operational cycle, doing exactly what we had been training to do. The CO recognized that several others on the ship were more effective at some periscope operations and allowed me to continue manning the scope when almost all other COs would not have even considered anyone other than themselves laying an eyeball on what was going on. I had the CO's complete confidence and had demonstrated in other minor experiences of this nature that I could handle the ship and use the fire control tracking team effectively. All other members of the Control Room, Fire Control Tracking Team, and Sonar Team were all extremely professional and recognized the importance of what we were doing. Some of them were also very clearly using some of the quirky techniques and procedures that we had developed in our watch section. We were doing something we all knew was important (it didn't matter at this point that we had been on station for about 55 days). Everything we had trained to do actually worked like it was supposed to (we got instant payoff in about a 30-minute window for about six months of workup and 54 previous days of “why are

we here?"), and the CO had empowered his team [with] the flexibility to operate under his clear guidance.

When leaders empower their subordinates to do the right thing in a difficult moment, as in the aforementioned story, it creates a learning environment for the subordinate to do the same thing for his/her subordinates. This trust, or empowerment, reverberates throughout a person's entire career and serves to enlighten others along the way.

This next story shares the experience of how an Ensign was allowed to take control and work through a dangerous situation. It is a good example of how the Commanding Officer allowed his junior Officer of the Deck to "succeed in the moment" and empowered him to carry the message of "trust" into the future.

179. One night, we were coming back from San Francisco to San Diego in really heavy seas. We were supposed to pull in the next morning, but got diverted 450 miles out to sea to participate in a SAR mission with the Coast Guard and Air Force. We were to provide a lily pad for the Coast Guard Helo—they were stretching all the way to max range for their fuel load. We were supposed to act as a medical station and gas station. To get where we needed to rendezvous, we had to do thirty knots all night. Only two of our OODs could take the 18-foot seas, so we tag-teamed the bridge watch all night. On my watch, only three of us—the OOD, conn and helm—could even stand. Seas were increasing up to about 18 feet, the winds were over 70 knots of relative wind, the barometer plummeted about 0.12 in fifteen minutes and the visibility shrank to about 200 yards. And here we are zooming at 30 knots to get to our rescue station. I'm just a young Ensign, a fairly new OOD as well. I called the CO with the eight mandatory reports for weather all lumped together. I told him I was going to man the low visibility detail, but I would let them observe from inside the bridge because the winds and seas were just too much. I expected that my report would lead the CO to come running to the bridge to take over. His response after I gave him my 'the sky is falling report' was "Okay, sounds like a good plan. Just call me if you need help." Even though this was the toughest watch I ever stood, I felt newly invigorated. The CO trusted my judgment even in the worst of situations. After that, I really felt empowered to run the watch and keep my ship safe that night. It seems like a trivial thing, but in him showing confidence in me, I gained a lot of confidence in myself and learned to do the same with my junior people. On this night, I really loved being a SWO. We did an important mission and I really felt like I made a big difference, largely because my CO trusted me to perform under pressure and let me go out there and do the job, rather than coming in and taking over the watch.

Succeeding in the moment appears to make a lasting impression and often influences career decisions and how people treat future subordinates. One young aviator discussed his first deployment in a squadron. His CO trusted him to make a briefing to the entire Wing as a representative of his squadron. He is now a Vice Admiral.

124. I can remember [it] 28 years ago as clear as I can remember it today. I finished the Training Command and went through the RAG. I had done well. And, because of that, I was selected to go to a deployed squadron. It was pretty challenging for this old farm boy—strapped my sea bag to my back and flew over to West Pac. I flew into Clark [AFB] and took the jeep down to Cubi. I was met there by a couple of JOs, and we jumped into the jets and flew out to the USS Ranger that was on station in the South China Sea. I happened to be replacing the fellow who flew with the skipper of the squadron. That was kind of an intimidating experience. Once again, it was one of those opportunities. It provided me with an opportunity like I never would have imagined. First of all, there were a lot of Roll Aids because I was young, new, and inexperienced. The C.O. had a gift of making you feel truly a part of the team and giving you an opportunity to grow. We finished up the deployment and came home. But the real event was probably two months into the turnaround. There was going to be an all Air Wing meeting. We were stationed in Whidbey and the meeting was somewhere in California. We were going to discuss new war-at-sea tactics. We were just getting into the war-at-sea business. Our squadron had done a little bit of work [on war-at-sea] during the deployment and we were going to give a presentation to the entire Air Wing and I'll never forget the day when the skipper came in and said, *"You are going to give the presentation."* At that stage of my life, it was a pretty big event to stand in front of the Ready Room and brief a section or a division. And here I was going to brief the entire Air Wing. It was certainly a nervous moment in my life. I worked hard. I studied. I knew that I knew the material. But what that C.O. did was . . . he was so supportive despite the fact that I was a little peeved at him for making me do this horrible thing. He had the vision to know that young people had to stand up and grow. He worked with me; he critiqued the briefing; and, he never wavered an inch. To see his confidence and lack of concern that I would fail in front of the Air Wing—he was completely confident I would do just fine. Of course, during the briefing, he was up there in the front row with all of the COs. And there were a couple of times that I glanced at him—he was as calm as could be. *You know, at some point it begins to rub off on you. If your boss has that much confidence in you, and you respect him like I did this person, well, maybe you are doing O.K.* And of course it went fine. At the end, there were a couple of tough questions that came up and I was able to answer them. There was some discussion at the end. *But I'll tell you what— at the end of that I felt like King Kong. I couldn't believe that I had this opportunity. I succeeded and it was*

*because the C.O. believed in me, empowered me, worked with me, and he showed unwavering confidence that I was going to be successful. What an empowering tool that is.*

These experiences help illustrated how invigorating and inspirational trust from a senior, particularly the Commanding Officer, can be. Not only did some interviewees use the word “empowering,” but they also implied that their self-concept was changed and that these moments helped them see that they were and are competent individuals with successful futures. There can be no doubt that they will draw upon these high points as models of “influential leadership” for their own behavior.

**E. THEME III: WHEN LEADERS TREAT MISTAKES AS LEARNING OPPORTUNITIES, PEOPLE FEEL SUPPORTED TO TAKE RISKS AND ADOPT INNOVATIONS**

**1. Theme**

When leaders put aside their concerns about being punished for the mistakes their subordinates make and encourage learning through trial and error, people realize the uniqueness of the opportunity, proceed with caution and innovate.

**2. Justification**

When leaders treat mistakes as learning opportunities, it appears to give people the autonomy to act. Showing trust in people *before* they act and demonstrating tolerance for mistakes foster an environment that is attentive to people’s learning and development. Interviewees stated that, when mistakes are used as learning tools for personal growth, trust appears unconditional, which contributes to the belief that confidence in subordinates’ competence exists. Leaders who accept responsibility for the negative actions of their subordinates instill confidence and empower their people to trust the chain of command. The following story, which occurred in Costa Rica, paints a good picture of how a Commanding Officer accepted responsibility for the negative action of one of his subordinates:

46. Being outside my community on the PC, it's a big ship . . . big ship life. *I* think it's a big ship, of course; everyone else coming from a real ship they think it's small. Anyway, I had the opportunity to qualify for officer of the deck underway. We got a new CO, [and] we were unsure of him at first because our previous CO was great. At the change of command, we didn't know if he was going to change everything around on us. What he did for me personally—he gave me the opportunity to pull

the ship out, no real big deal. *We were in Costa Rica, and I'm pulling away from the pier and all of a sudden there's this onsetting wind that came blowing in on us. Just as I was going by this pylon and it blew us over and I scraped the pylon. It hit the side of the ship. There was a crowd of people on the pier watching; you know, the entire local [community] comes down to see the U.S. Navy ship leave. I looked at my CO; he was standing there looking at a five-foot nasty gash in the port quarter. After the hit, we got away from it and continued out to sea. I was expecting to just get my butt slammed right there. He looks at me and goes, "What are you going to do now?" I'm like, "transfer control to the pilothouse" because we were getting out into the channel. So, I left my station out on the bridge wing where you drive the ship when you get away from the pier. On the bridge I looked at him; he was looking at me, just waiting. I could see it in his eyes by the way he was looking at me. He was thinking, "So you messed up, continue on." I'm thinking, "I just waxed his ship hard and he still showed me he had the confidence in me to continue on with the job." Then he debriefed me afterwards. Then he gets on the IMC and tells everybody he owes everyone a case of beer because he hit the pylon. Even though I was driving, he's the one that's responsible[because] he was standing out there with me. I tell you what, I learned a lot from that, the accountability of a CO. I trust him. Out of all the SEALs and all the boat guys I have worked with, this is a regular SWO officer who has his entire stuff in one sock. I'll never forget him.*

This second story also talks about how a Commanding Officer allowed one of his subordinates to learn from his mistake. He realizes that things in the Navy are different now, but recalls this as one way that young people learned back then.

67. Actually, I spent my first couple of months in the Navy on a destroyer, waiting to go to flight school. I had some assignments. My first assignment was to a destroyer and my second was to a staff in Norfolk called COMSERVLANT. In my two months on the destroyer, I can still remember how impressed I was with the C.O. of that destroyer. He was the John Wayne type. You know, on the bridge with the wind blowing—he was definitely in charge and the crew loved him. Those were the days when he'd get a new Lieutenant, and he was going to teach him how to drive the destroyer. I'll never forget going into port one day in Norfolk, and the guy has a good big head of steam, and he hits that pier. I'm telling you, concrete and wood and stuff was flying everywhere. Those were the days when you could sort of get away with those things. The Captain said, "All right, back it up, try it again." And the Lieutenant could learn how to do it, but I don't think we could get away with that sort of thing now. I guess my positive impression was what a great Skipper this guy was and how much the sailors loved him. He was very impressive to me.



Being able to share past personal experiences and relate to subordinates exemplify the ability to tolerate mistakes. People consistently state that they are grateful to be given another chance. This is clearly another way in which leaders tolerate juniors' mistakes and treat them as learning opportunities. As a first class petty officer recalls:

47. When I was a first class petty officer, I had a young third class that worked for me, he had some problems. He was a young kid that worked his tail off, busted his butt. He was a great operator on deck; it was on an amphibious ship that had cargo booms, boats, and different things. Very busy and a work-demanding ship. This young kid was very motivated to work hard; he did a great job, but he had a little problem with drugs. This was just when zero tolerance started, [and] this kid had been to an admin separation board, and the admin separation board basically turned the case back to the command and said it was up to the CO. It was his decision whether this kid stayed in the Navy or got out. *I went to the CO, and I shared some of my personal experiences in life with him and what I had overcome, and what I thought this kid could do if he were able to overcome his problems. I asked if he could give him the opportunity to try that, and the CO did. The CO listened to what I had to say, and he gave that kid the opportunity to do well, and he did. The kid did a great job; he overcame his problem on the ship—actually his problems were not the ship, but on liberty. He overcame those problems and exceeded everybody's expectations. I kind of look at the fact that if there were not people looking out for me when I was a young man in the Navy that I definitely would not be where I'm at today. This is not a one-man show; there's nothing about the military that's a one-person deal. It's about people trying to take care of people. When we say take care of people, it's not about babysitting or hand holding; it's about saying, "Hey, we are all human beings." Not everybody can go through life without having some challenges and difficulties, but if we can provide guidance to people, maybe they can possibly overcome some shortfalls. We should do that, so that's my deal.*

Sharing past personal experiences, relating to subordinates, and putting aside concerns about being punished for their mistakes help people realize the uniqueness of the opportunity.

**F. THEME IV: BY APPRECIATING INDIVIDUAL STRENGTHS AND RECOGNIZING ACCOMPLISHMENTS, LEADERS ADVANCE THE POTENTIAL OF PEOPLE**

**1. Theme**

At this level of personal attention, leaders build relationships with the people around them. For some, a sense of family develops. Emotional support, such as caring and compassion, become important behaviors that leaders provide.

## **2. Justification**

This is about leaders showing they care at a personal level about an individual's contribution and worth, without regard to organizationally created class boundaries. Such personal attention usually begins with the leader's daily approachability and accessibility. Specific actions include support after a traumatic event or recognizing potential and providing long-term attention to the personal and professional development of individuals. These actions, over time, can create a trusting "family" climate in which subordinates feel that leaders truly care about them. This, in turn, can lead to Esprit de Corps and contribution to a higher purpose. Over the long term, people tend to remember these leaders' example and feel compelled to behave in a similar manner when in the same position later in their careers. The first story describes the interaction of a young sailor and his Department Head about a recent family tragedy. It was a very important moment for the sailor and defined the character of the leader he sought out for consolation.

8. I have a friend. He is a retired Rear Admiral who is now teaching at the War College. He was a LT and my Department Head onboard the USS Henderson DD-785. In those days, the Navy was a little different—that it didn't care too much about people—it didn't seem like it. Our ship was unusual, and I thought he was an unusual person. I thought that he was too nice of a person to succeed in the United States Navy. I thought you had to be a real jerk in order to be a successful naval officer because I had seen a lot of them. Our Executive Officer was one of those JERKS!!! *My mom had died, and we were somewhere near Japan, and I was not able to go home for various reasons, and it didn't matter anyway—there wasn't anything that I could do. My department head was the one I wanted to talk to—he was a NICE person!!! So, first of all he was professional and said, "Gooch I'm happy to talk to you, but you should inform your division officer." So I did so. My department head and I was sitting there talking and making me feel better. I'm only a third class petty officer and 19 years old, and he was an "OLD man"—27-years-old—who was utterly superior. Anyway, the phone rang and it was the Executive Officer who was yelling at him. He said, "I'll be there in a little while—right now I'm talking to Gooch." And hung up the phone! It happened about 40 years ago, but I've never forgotten it because he was attending to something that*

*he thought was important, namely my grief, and was willing to take the time to do that despite other stuff that was going on. I never forgot that and revered him.* I tell this story to LTs in the intermediate officer leadership course because sometimes small acts like that will do it.

Leaders not only have to be available for their people during emotionally traumatic times, but also during times when they have been advised that it might be a waste of their time. The next story illustrates that when a leader makes him/herself accessible, subordinates feel that their leader cares about them. It also serves as a great example of how behavior leaves a much greater impression than words.

145. When I transferred to the Navy Supply Corps School, my arrival was not exactly what you would call a welcome one. Due to some differences I had in my past in the Submarine Community, a bias had been communicated to Captain Ron Mathieu, the CO of NSCS at that time. The CO was told not to take me onboard as a staff member. The CO disregarded this advice and took me anyway. I guess he wanted to develop his own opinion of me. When I checked on board and had my initial interview with CAPT Mathieu, I expected the same kind of interview that I had received so many times in the past. The quick five-minute hello, do a good job until you leave type of interview. When I sat down with the Captain, however, I received the most comprehensive welcome infused with history of the command and instantly felt a part of the command vision. I walked out in complete amazement, and that great feeling I had lasted for the rest of CAPT Mathieu's tour, until he retired. From day one, I felt like an integral part of a great team and empowered to act as the officer that I was. I can honestly say it was the first time I had really felt a complete team concept and a command moving forward in concert since I had been in the Navy. Captain Mathieu's attitude and behavior were the perfect model of positive energy, and supported completely the vision of the command. The next year came, and it was time for a change of command at NSCS, Athens. We had a traditional hail and Farewell to bid our CO a fond farewell as he was retiring the next month. I made my way over to Captain Mathieu and bid him my farewell. He accepted and then pulled me aside. I will never forget the words he said to me and will probably never feel as much a part of a team or organization again. "Gene, I wish I had spent more time with you. I learned a lot from you and could learn so much more." We broke down and expressed our thanks that our paths had crossed at all. After all, I was not even recommended for a job at NSCS, Athens. I was glad I had decided to come to Athens despite what others said about me. I can say that I learned a lot from him and, with pride, say that I taught him something too, although I didn't even know it!

Leaders who show that they care on a personal level don't always have to be the rank of "Commanding Officer" to have a positive effect or make a lasting impression. The next story shows how a young division officer, serving in the role of First Lieutenant, helped boost a young seaman's career that had been stymied by the Navy advancement process:

166. When I took over the reins as First Lieutenant, I found I had a leading seaman who was about to burst with untapped potential. He was smart, articulate, squared-away in appearance and knowledge, and had all the makings of a fine petty officer. He wanted to go to ITA School, but I found out that he had been denied this opportunity for reasons I considered unjustified. After a few months, he finally received orders to this school. It was the happiest day of his life. However, after three years in the Navy, he was still an undesignated seaman. This was decimating his self-esteem. Some peers originally in Deck with him were already second-class petty officers. *Luckily, the command recognized his outstanding qualities, and on the day before he checked out, bound for Great Lakes, the Captain promoted him to third class petty officer in the Command Advancement Program. He broke down in front of the whole crew, an emotional display of pride, joy, and the indescribable feeling of overcome frustration.* He was a whole new person. For the little time he had left with us on HIGGINS, he didn't stop smiling. *I knew his family back in Georgia was very important to him and that separation from them was aggravating, so I wrote his mother a letter. In this letter, I thanked her for raising such an outstanding son. I told her of his accomplishments and their importance to himself, the ship, the Navy and even the United States. I told her she should be proud.* I'm not sure what has become of Petty Officer Morgan or my letter, but I hope he never forgets the high regard in which my command and I hold him. It was wonderful to see a command recognize such a great Sailor when he needed it most.

Supporting personnel after a traumatic event or recognizing potential, even when a leader is told that none is there, have significant positive impacts on personal and professional development. As these stories help illustrate, by appreciating individual strengths and recognizing accomplishments, leaders advance the potential of people's actions over time, which helps create a trusting "family" climate in which subordinates feel that leaders truly care about them.

## **G. THEME V: TEAMWORK IS A POWERFUL ASPECT OF THE NAVY EXPERIENCE**

### **1. Theme**

Leaders who work side-by-side with their people help develop high-quality teams. Personal interaction, respect, and honesty create conditions where traditional boundaries of rank and rate are transcended. Team accomplishment leads to an increased sense of personal achievement, meaning, and contribution to a higher purpose.

## **2. Justification**

When leaders respect vertical and horizontal organizational boundaries and choose to participate in the most useful way possible—which may include working side-by-side with their personnel or with previously unknown divisions—they help develop a higher-quality team atmosphere. Subordinates recognize leaders who help in creative ways, and this type of personal interaction can create conditions where traditional boundaries of rank are transcended. Within the context of the interviews, and what appears to be Navy life as a whole, team accomplishment is a key element of unit cohesiveness that people remember and desire to repeat in future duty stations. This cohesiveness affords people the opportunities to feel a sense of personal achievement and meaning, as well as a feeling of having contributed to a higher purpose. A division officer shares his experience of working side-by-side with the troops during a difficult situation:

24. I was working as a catapult and arresting gear officer. I was sitting at home a few days before Christmas, and we were supposed to go on deployment in three or four months. We get the call that our aircraft carrier is going to Desert Storm, and we're leaving two to three days after Christmas. We were very focused on what we had to do. Everyone knew we had to go out and work 18-20 hours a day. During that time, I had worked my way up to division officer in charge of all of the catapult and arresting gear. There were 150 people and they were all young kids. The first day, we lost the arresting gear wire—it broke. We needed that arresting gear wire; it had to be fixed. Usually, it takes a special team of professionals, including civilians, to come out and fix it, and my guys fixed it in five days, working 24 hours a day. I had never seen anything like that. In other communities, if we had had an accident, we all would have stopped, we would have had safety stand-downs, and we would have talked about it for a while. But five minutes after this accident, we were launching and recovering airplanes; it was kind of an amazing thing. It's a hard job; it doesn't take a lot of smarts, but it takes a lot of brute strength. And they just needed somebody to kind of watch out for them and protect them. And I think that it wasn't just me, but all the "shooters" [catapult and arresting officers] watched out for these guys. I think we were successful because we just kind of watched over them and protected them.

*But what I noticed that was different about the air department were the khakis [the chiefs and officers] worked and stayed up, and we were with our guys—out there getting dirty with them.* Whereas anywhere else I had been, the officers and the khakis, you land your airplane and the officer leaves and the enlisted guys stay out there and work for another two or three hours on your airplane. And I never really like that, but that was just the way it was. But on the ship it wasn't that way. You worked side-by-side and I think they appreciated that. The guys that didn't do that—and there were a couple of "shooters" that didn't do that—they weren't as successful; their divisions weren't as successful. Their guys didn't work as hard for them. And that was true for the air division. And there's lots of divisions where the officers and khakis were, in the eyes of their men, up to the task, so to speak, had proved their mettle in terms of how hard they were willing to work and what they were willing to do.

Transcending rank boundaries is another example of teamwork, specifically vertical teamwork. This helps facilitate personal achievement and create high-quality teams. This story about the selected reserves that stood up a public affairs unit is a good example of vertical teamwork:

20. While in the Selected Reserves, I was chosen to be part of a command team to stand up a Selected Reserves CINCLANT Publications Affairs Unit, a mobile public affairs team. To do that, we developed job descriptions based on our mission and vision and set goals and determined how to accomplish those goals. My job was to recruit and train people (officers, chiefs, and enlisted), and to qualify and deploy them to be part of mobile public affairs teams. This experience was significant because we understood that something that was identified as a need was developed all the way through to a functioning process. A unit of people was recruited and trained that performed at the level that was required. *The command team was composed of a CAPT, CDR, and me (a Command Master Chief). Taken together, we had 80 years of experience between us at the time.* The team members were experienced, and we understood our role and the mission, vision and goals of the team. We were informed, educated, and experienced. *There was a synergy—we were all focused on completing the task.* Our leader served as an Enlisted man before becoming a Captain. People never questioned him because they knew he understood both sides and would put himself in our shoes. He understood that sometimes you have to take baby steps to get ahead. He took the hard parts; he took the lead. That's what a leader does, takes you where you wouldn't go yourself.

Along with working side-by-side and working across rank boundaries, horizontal teamwork, which relates to accomplishing a mission without being limited by organizational boundaries (rank independent), is also a significant contributor to the

concept of teamwork throughout these stories. The following story is an example of a crisis situation in which horizontal teamwork had a positive an impact on this sailor's life and career. He stated that he will remember the experience for the rest of his life:

149. Sometimes outside forces intervene on things like this. AG1 Ford, who works on the opposite of the building, and I were stationed in the Philippines together when Mt. Monachoco erupted and it just devastated the entire area. I do not know if you were there when Mt. St. Helen's erupted, but it was just a bad situation. [We] are talking about a third world country that does not have any infrastructure like we have here, and it makes it that much worse. We were on a mobile team, and we had about four people deployed at that time. Their families were still there. These folks weren't going to be back and they were evacuating everybody. If you were a dependent, you were getting out of there. So it was left to the rest of the people there to ensure that everything was taken care of for these people in their houses, their personal life and the paperwork drill they had to go through to get them on the flight, put on a boat, get them out of Subic Bay. We had to get them back home and keep the member advised exactly where they were in a situation where you have one ship left down there that had no sort of comms whatsoever. But we did it. Everyone stepped forward and did their part. Not just me, but everyone. It was a situation where you had no choice and never questioned it. This was just something you had to do in the meantime, keeping the mission going. We still had to deploy within a week, two other people and I, to the Indian Ocean. We still had to prepare for this while the rest of this stuff was going on. I will remember this for the rest of my life in a positive aspect. It was so much devastation down there, and the way everyone came together and helped out and got the job done, that was something! It was great in a way, but sadly we were surrounded by a bad situation.

A LCDR aviator describes the great team effort his whole squadron made to prepare their new "home" upon arriving in Aviano, Italy for the air war over former Yugoslavia.

132. I was part of a tremendous team effort that left a lasting impression on me. My expeditionary EA-6B squadron showed up in Aviano, Italy to participate in the Kosovo air operations. We were shown a broken down, unfurnished, uninhabited hangar and spaces that were to be our temporary home. There were a million things that needed to be done in a short amount of time. *Everyone in the squadron jumped right in and began to transform our situation and spaces into a useful, productive, performing experience. The squadron CO and XO did not try to manage every little situation, action or event. They intervened when asked or when they perceived they could help knock down barriers.* It was amazing how proactive and resourceful squadron members became when allowed to perform their jobs with the full trust and support of their leadership.

*People want to be part of great teams and to know that their input is valued and vital.*

Teamwork appears to be a key component of subordinates identifying outstanding leaders. It also builds unit cohesiveness, breaks down rigid organizational boundaries and opens up lines of communication across different departments or divisions. All of these items contribute to individuals being able to identify achievement, both personal and as a unit, and helps build the sense that people have had a part in a purpose bigger than themselves.

## **H. THEME VI: PROMOTING LEARNING AND SUPPORTING DEVELOPMENT—THE EXPERIENCE OF BEING MENTORED**

### **1. Theme**

People remember and value leaders who support their learning, development and advancement. People are deeply impacted when they experience leaders who take time to notice their potential, who deliberately select them and mentor them.

### **2. Justification**

Mentors, in the context of this theme, guide people through obstacles and challenges. When people experience mentors who invest time and energy into them, they are touched by these experiences, and often a strong camaraderie and loyalty develop. Also, a sense of multi-generational loyalty to give back develops. This is where people develop a sense of un-mandated obligation to treat others in the same positive way they have been treated in the past. The first story describes a Chief who touched the lives of one of his sailors and who, through his support of learning and development, influenced this individual, who has utilized these leadership concepts for 17.5 years:

177. My first great influence was ENC (SW) Kirkvold, who was incredible. I was stationed in Keflavik, Iceland in the mid-80s. ENC (SW) Kirkvold arrive about eight months after I arrived. There was an emergency diesel generator set at the command that was owned by PWC. The engine was on its last leg. The command had another diesel generator (DG) in a warehouse that had been there for several years before I had arrived—it was from a base in Adak, Alaska. When the DG was removed from the power plant in Alaska, they cut all the wires with no labeling of anything on the DG. One day there was a meeting about bringing the DG from the warehouse to the command for installation. ENC told the chain of command that the installation would not be a problem. ENC came to us (I was ENFA at the time) and laid out the job. We were all in shock that



we were going to be afforded the opportunity to do such a large job. He told us, "We can do this as long as we have confidence in ourselves and the plan." We brought the DG out to the compound and placed it into the building. We also installed a large transformer as part of the job. During this installation, ENC Kirkvold had to go to bat for me because of a small incident. During the installation, I caught the building on fire while using a cutting torch to cut a hole in the side of the metal building to accommodate the exhaust piping and the cooling system. It was not that big of a fire, but it was noticed by the chain of command, then brought to the attention of ENC. He told the chain of command not to worry about it; I knew exactly what I was doing. He did this numerous times, putting total confidence in a new ENFA, me, he really didn't have any experience with [me] or my work ethics. *He pushed several concepts repeatedly: trust your people, empower your people; they will not let you down. I learned several very important skills from him. The first was take pride in what you do. Second, there is nothing that you can't do if you have a specific goal and a desire to excel, showing pride in what you do. He's right. I took what he taught me and I ran with it and have been for 17.5 years. These concepts have never failed me.*

Early in his career, a Special Warfare E-7 was surprised when someone who came from a very different background and appeared to be an unlikely mentor mentored him. However, this mentor made a deep and lasting impression on him.

233. I had been on the ship about four months. I was 17. There was an air crewman, an E4, who was named Marlin Smith. He was across the aisle from me in the three-stack coffin-racks on the ship. We didn't actually work together but we shared a berthing area. One evening, he just started talking to me and asking where I was from and the like. I was impressed because he was from the south. I wasn't the stereotype black person he was expecting. And he wasn't what I was expecting for a white person from Georgia. I didn't really think we would get along but we did. *He took me under his wing and showed me how to work within the Navy—the things I could do and the things I couldn't do, and the things I should strive for while I was there. He took me under his wing because he said he liked me. This mentoring was a good experience for me very early in my Navy career. I could always rely on Marlin. He lived by his code and told me it was important to set your standard and to live by it throughout your life. It wasn't so much what he said as it was the way he acted. He was reliable. He was the rock. He was consistent. Whatever he said today was the same thing he said tomorrow. He had an honor code. If we set a time, he was there. And if for any reason he couldn't be there, and it had to be a major reason, he would call you. He didn't have debts. He didn't go around drinking and partying and carrying on. He wasn't a religious person—he was just a very fair and dignified person. He came from a really good family and took me to his home for a visit. I saw Marlin years later and told him how all the things he told me, the things he*

had helped me with, had influenced me as a person—to be fair and to have integrity. *He had invested time in me and he had no idea where I would end up. I've carried the things he taught me as a young sailor with me all my life. It was good.*

A Petty Officer experienced a CO who took a personal interest in his crew and was eager to get to know them personally and provide mentorship. The Petty Officer recalls him as an outstanding influence:

164. I had this Captain on the USS FOX (CG) whose father was also previously the captain of the FOX. He honestly believed that the USS FOX was the best ship in the fleet. He believed it was the best ship because of the crew. He conveyed his pride and belief in the ship in everything he did or said. I was a chief at the time. *He was so interested in knowing the crew that he decided to set up a one-on-one lunch program. He wanted to eat lunch and talk with at least one chief or one junior officer a week. He then placed a sign-up sheet outside of the wardroom. At first, no one wanted to sign up. Everyone was intimidated or scared to eat lunch on on one with the Captain. I finally signed up. That was the last time I signed up and got to see him quickly. The next time I went back to sign up, the list was so long that it would have taken months to get a one-on-one with the Captain. Everyone had quickly caught on. The Captain had established his belief in the ship and was intent on being a mentor to all of the junior officers and chief petty officers. He always spoke his mind and was always firm in his belief that his crew and his ship were the best in the fleet.*

All of these stories illustrate the aforementioned point that people remember and value leaders who support their learning, development and advancement. People are deeply impacted when they experience leaders who take time to notice their potential, who deliberately select them and mentor them.

## **I. SUMMARY**

The process of qualitative analysis significantly contributed to the success of the Summit in that it allowed people to begin with a common vision and understanding of how sailors define exceptional leadership and situations in which they feel empowered and able to make mistakes in order to learn. This was achieved through the collection of 268 interviews that had a positive impact not only on the Summit participants, but also on the interviewers and the interviewees. It was one of the first times in Naval History that a large group of individuals went forth to find inspirational leadership stories and share them with stakeholders that represented every facet of the Navy. These stories helped

define what is meant by “effective leadership” and provided several examples of how people have been influenced by Commanding Officers who have given their subordinates autonomy to act, trusted them upfront, bestowed personal attention, and allowed teamwork to happen.

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## **V. THE LEADERSHIP SUMMIT**

### **A. THE EVENTS AND OUTCOMES**

The Leadership Summit took place over the course of four days at the Naval Postgraduate School. A list of Summit attendees is found in Appendix E. The goal of the Summit was to envision, plan and take action towards a new leadership model for the 21<sup>st</sup> century. As part of that process, members needed to recognize what they valued about the current Navy and the current model of leadership. The group took those values and created propositions that described their ideal Navy. Upon review, the CNO deleted all of the external stakeholders proposed by the steering committee.

LCDR Dave Nystrom and Prof. Frank Barrett, along with the authors, developed a read-ahead package containing some of the best stories from the interview process, as well as the themes that emerged from the qualitative analysis. Barrett and Nystrom developed additional themes to share with the group and included those in the package. They had designed the read-ahead package to establish an atmosphere of positive dialogue among the participants prior to and during the conference. The Summit followed the pattern of the "4-D" appreciative inquiry cycle: Discovery, Dream, Design and Destiny. Most of the summit events began with participants interviewing one another, after which they shared the results amongst each table, and the table then shared general themes with the entire group.

As the previous chapter highlights, leadership stories sparked the discussions and influenced the dialogue of the Summit from the very first day. As the following paragraphs illustrate, Summit participants were given an opportunity to experience the “interview” and share their own personal leadership stories, which is one of the first things that helped open the dialogue among the participants.

#### **1. Day One: "Discovery"**

Day one of the summit began the "Discovery" phase. RADM David Ellison, Superintendent of the Naval Postgraduate School, welcomed participants and told some stories about bad leadership experiences, but ended with a positive story. He continued by explaining that, in his view, the CNO was giving participants the opportunity to talk about the future and that they should take advantage of the opportunity. LCDR Nystrom

continued the introduction by explaining that the genesis of this project was the "30-Something" Group and the CNO's review of the idea of 360-degree feedback. After reviewing that idea, the CNO decided that he wanted the Navy to focus on the ways in which it could use AI to help generate positive self-talk and good leadership. Therefore, the purpose of the Summit was to build a critical mass of information on how the Navy views and trains leadership. He went on to introduce the interview team and the process by which they gathered the stories in the read-ahead package. Following that, he attempted to show the diversity in the room by introducing participants both by community and rank.

Dr. Barrett continued the morning introductions by discussing the opportunities this conference would bring for creating a new vision of the whole system. This was a great opportunity for dialogue, he explained, and a way to create generative conversations in the organization. Barrett made clear that he wanted this experience to be "eye-opening," but that the purpose of the conference was not to make policy changes. These changes had been deemed off-limits by the CNO prior to the conference. Barrett then defined the concept of Appreciative Inquiry. He concluded describing the Summit as a quest without a destination—a personal journey and search.

The final part of the introduction to the conference was the video invitation by Admiral Clark. In it, he discussed the idea of "covenant leadership" and the contract by which each individual agrees to serve. He explained that the purpose of this conference was to improve the leadership of the Navy by starting conversations, tapping into the Navy's core strengths, and changing self-talk. The Admiral invited everyone gathered to join in a conversation on leadership.

Dr. Cooperrider then began the work of the Summit by introducing the participants to the AI protocol in their binders and instructing them to pair up and conduct interviews. The interview questions for this exercise were designed to explore the positive history of the Navy, to discover individual highpoints, and to identify personal visions for the future. Individuals shared their stories with their table groups, and the group then discussed each category. Selected groups then presented a summary of common themes to the entire conference for each area explored.

During the afternoon session, the group was re-divided into Navy professional community groups. The community groups were enlisted aviation, senior officer aviation, special warfare and Marines, support staff, submarines, surface warfare, and DoN civilian. Dr. Cooperrider then instructed the new groups to focus their discussion on the root causes of success. Their task was to prepare to report both their best group story and any common themes involved. An artist then posted the common themes on a 30-foot-long drawing of a Navy destroyer on the far wall of the ballroom.

Dr. Cooperrider continued the Summit by discussing successful private-sector examples of AI summits. He discussed, in particular, the Roadway Trucking Corporation, which has used Appreciative Inquiry with success CEO was on hand to speak. Participants spent the rest of the afternoon listening to other speakers.

## **2. Day Two: "Dream"**

Day two of the Summit began the "Dream" phase of the cycle. Groups reported the results of questions regarding "maintaining what we value" and "imagining the ideal future" to establish a common vision of the future. Dr. Barrett continued by lecturing briefly on the "Design" phase of the summit and explaining that, "All systems are perfectly designed to achieve the results they are currently achieving." The purpose of the design phase is to change something. The large group continued most of the day reporting the results of the interviews and acting out short skits involving their vision of the Navy of 2011.

Later in the day, Drs. Barrett and Cooperrider passed out a list of 16 "emerging elements that make up our common-ground future vision." They created this list based on what they had heard from the participants so far. The items on this list were:

- Leadership as instilling mission, sense of higher purpose and spirit of service—as an "agent of freedom and world benefit."
- Leader as teacher and mentor—"leaders creating leaders at all levels"—people proud to follow the model and lead of their leaders.
- Leadership as building great groups—creating a climate of collaboration, teamwork, dialogue and breaking down barriers of rank.
- Positive command culture—respect, honesty, valuing, trust in people, positive, and appreciating.

- Empowering decision-making process.
- Covenant Leadership—high human expectations, disciplined action, accountability and responsibility coupled with real caring for the person—"tough love."
- Leadership as creating culture of intelligent risk-taking and innovation.
- Navy as environment that accelerates "lessons learned," sharing knowledge and best practices and organizational learning.
- Celebrating, honoring, and respecting the strength of diversity.
- Creating connectivity, "communities of practice," and virtual connections in a web-empowered, information-rich environment—e.g., virtual and positive connections between Navy and families.
- Empowering work—creating purposeful, dynamic, and meaningful jobs, with opportunities to stretch and grow.
- Empowering planning methods.
- Life-long learning, education and training connected to "worldwide standards."
- Organizational structure that balances fluid and stable elements: high synergy between hierarchical modes and networked, web-enabled partnering structures.
- Creating positive change—leader as evangelist for change in the service of adopting new missions.
- Positive public awareness of Navy's bold and enlightened leadership and commitment to higher purpose.

Drs. Cooperrider and Barrett assigned each table one of the elements on the list from which to develop provocative propositions for the future. There were at least two tables working on the same element, each table selecting a representative. After the task was completed, those representatives would merge the two groups' propositions. The participants then started a discussion about the process. Some groups were assigned an "emerging element" that they neither wanted nor agreed with. Therefore, Drs. Cooperrider and Barrett allowed them to work on "extra" propositions if they wanted to,



but they had to address their assigned element, as well. The results were due by the following morning.

### **3. Day Three "Design"**

Day three of the Summit began the "Design" phase of the appreciative inquiry cycle. The day's motto was: "Today is the day the rubber meets the road." Each table group shared its provocative propositions based on the assigned emerging elements. This began the "mapping the future" phase of the conference. As each table representative read his or her group's proposition, the entire group voted by holding up red, yellow, or green cards to indicate their level of approval.

In the midst of the provocative propositions discussion and vote, VADM McGinn stopped the proceedings, introduced himself, and asked RADM Ulrich to speak. Admiral Ulrich, head of a CNO initiative called "Task Force Excel," explained his organization's mission to the group and said that he was very pleased that the conference was in line with his mission at Task Force Excel and the CNO's wishes. He also explained that some of the ideas generated by the group were close to existing initiatives of the CNO Task Force. The discussion and vote then resumed. The list of provocative propositions can be found in the Appendix.

Upon conclusion of the presentations and vote, an open discussion ensued. One participant said, *"There is nothing worse than creating an expectation that can't be filled. Are we going to take action?"* Another comment was: *"No one disagrees with any of these. That tells me that we have not stretched enough and we have found the lowest common denominator."* Participants seemed to be concerned that these propositions were too broad to generate action and began to become negative. Drs. Cooperrider and Barrett allowed the conversation to continue. Additional comments included:

*We need to tie these provocative statements to rewards. Provocative behavior must be rewarded if this is to carry on long term. Otherwise it will be like TQL.*

*We need more specifics. This is too broad and too flat and just becomes words.*

*A lot of these ideas don't relate to sailors. There are just wonderful words.*

*We're looking for behavioral change. We've extracted concepts. But ultimately we have to teach new behaviors. We should be looking for mechanisms to reward in order to make change.*

At this point, the group moved on to the next phase. This phase was designed to generate possible pilot projects based on the provocative statements. The group as a whole discussed a wide range of possible pilot projects, with individuals presenting their ideas to the group. Those ideas were collected and mapped out on a board at the front of the room. After a lunch break, those ideas were sorted out into like-groups. Individuals were tasked with picking a project upon which to work over the course of two rounds of group breakout. Individuals then self-selected into groups for the first of two rounds. Groups were tasked to develop the five W's of who, what, when, where, and why for their pilot possibility. After two rounds of group work, each pilot project selected a spokesman to deliver a one-minute presentation to the entire conference. A summary of the provocative propositions that were presented were:

- Leadership is the embodiment of mission. It is the multi-dimensional style which infuses all levels with the spirit of service where individual opportunities are only limited by imagination.
- We the leaders, at every level of our Navy, make a covenant with ourselves and our people to promote personal growth, responsibility for action, and accountability for outcome. Covenant leadership is a fundamental, enduring pledge to lead myself, my shipmates, and the Navy to excel in all respects in fulfilling the missions entrusted to us by our Nation.
- At all levels, our Bold and Empowered Leadership nurtures an atmosphere of collaboration, mutual respect and diversity. As shipmates, we challenge each other to contribute, through empowerment, dialogue, and teamwork, in order to advance a fighting force that is second to none.
- The Navy promotes the growth of responsible leaders at all levels by creating cultures of intelligent risk-taking and innovation. This culture is achieved by instilling in each member a crystal clear vision of what the command mission and goals are; by providing the proper framework of knowledge, skills, and resources; and by setting outer boundaries so that risk may be safely managed

- We are the world's finest government institution and combat force, serving as an inspiration and role model for all who desire to serve. We are a magnet for this nation's talent because we embrace, celebrate, honor and reward diversity in every facet of our organization and offer unlimited opportunity for personal and professional growth in the work place.
- We recognize and integrate the diversity of our members to leverage individual perspectives that enrich our intellectual capital and broaden our war-fighting capabilities. As a result, no organization has the depth and breadth of our leaders.
- We, the Navy, commit ourselves to excellence in lifelong learning education and training as the foundation for continuous challenge growth and success; this enables the USN to continually expand our capacity to create our future.
- We tolerate mistakes and encourage risk-taking to unleash creative energy. Free-flowing horizontal and vertical communication enables exchange of information and ideas across all boundaries, to complement the chain of command.

Upon completion of the presentations, the group was told that, due to time constraints, not all, but only a select few, projects would be briefed to the CNO the following morning. Later in the day, VADM Harms and the Executive Steering Committee decided which of the pilots would be best received by the CNO.

#### **4. Day Four "Destiny"**

Day four began with a talk by ADM Clark, followed by briefs of the pilot projects selected for discussion. The following is a list of all of the pilot programs:

- **360-Degree Feedback**  
360 is performance feedback from multiple sources: *superiors, peers, direct reports, and self-assessment*. A development instrument, vice administrative, gives flexibility to tailor to the needs of each command. This will help to give leaders at every level constructive feedback on desired leadership competencies. It will also improve upon the promotion selection process through the use of 360-degree survey instruments.
- **USS Constellation Mentoring Program Pilot**  
To create and sustain an effective mentoring program that promotes retention, advancement, and sense of purpose for command personnel. This will be done

by exploring mentorship “best practices,” consulting with CNET, and Navy-wide mentorship training programs that all members are training on.

- **USS Belleau Wood Shipwide Implementation of Appreciative Inquiry**  
Create enlightened leaders throughout the Belleau Wood crew. Improve morale and productivity by including all members in the process of appreciative inquiry
- **E-sponsorship/E-welcome**  
When a student’s billeting is known, the Training Center’s course Lead Instructor sends an email to the receiving command’s Command Master Chief. This email provides the receiving command with the student’s name, contact information, and training courses to be completed prior to departure. It also requests assignment of a sponsor. Additionally, it initiates important dialogue between the ship and Training Center for any specific training requests, tailored to the current needs of the ship.
- **Virtual Sea Bag/Tour**  
FTC San Diego is developing a compact disc that contains a virtual tour of a Navy Surface Ship. It includes video clips depicting the proper way to check aboard a ship, the Navy’s “First 72 Hours” video clip, typical berthing configuration/personal storage space available, messing facilities, action clips of ships at sea and weapons firings, a division at quarters and some typical shipboard work spaces. Every sailor en route to his or her first operational command is supposed to receive the CD. The information is designed to improve the knowledge and confidence of our young sailors and, ultimately, their potential for success. Once the sailors have checked aboard, they are free to send the CD to their families/friends and share their Navy adventure.
- **Enhanced Command Readiness and Sailor Empowerment Through Billet Marketing and Sailor Assignment Over the Web**  
Empower commands with the ability and authority to recruit, screen and select qualified individuals to fill valid vacant billets in order to maintain the readiness of the command. A common theme in the week’s discussions was empowerment of sailors and commands to make informed decisions. This pilot empowers participating commands and qualified sailors to “compete in the marketplace” for assignment actions required to maintain readiness. It empowers sailors to compete for billets they desire and rewards them for sea duty. It enhances the role of commands in the assignment process and capitalizes on work already in progress by NPRST.
- **Ethical Leadership**  
Assess, evaluate and improve the quality and availability of professional ethical training at all ranks and levels, helping to create and sustain ethical citizen-sailors serving in a Navy committed to “doing the right thing.”
- **Plane Captain (PC) Pilot**

This pilot project intends to shorten the time between when rated E-3s and below check aboard their command and when they actually start work in their rating. It also enhances professionalism in the plane captain field.

- **E-PSD**

The purpose of this pilot is to put members' pay and travel transactions in the hands of the members. This will reduce overhead, the middle man, and transaction time, and simplify the current bureaucratic system using current and future web-based technology

- **Valuing a Diversity AI Summit**

Bring about a Diversity AI Summit to decide on overt, purposeful activities to grow and value diversity in the Navy. This is different from other diversity initiatives in that it will focus more broadly on the concepts of valuing and embracing diversity as a strength.

- **Anchoring Covenant Leadership in the Culture of Our Navy**

Each of us is a sailor first, and each of us is required to establish a covenant relationship with both our shipmates as individuals and our Navy as a whole. In order to establish that relationship, we must articulate what it encompasses. The design of the Sailor's Oath will achieve that goal. In aligning every leader at every level with the simple swearing or affirming of a common oath, we will ensure that the basic tenets of covenant leadership are instilled and maintained as a part of our culture

- **Electronic/Virtual Seabag**

This pilot will test the feasibility and usage of a government-issued laptop computer to increase sailors' rate of learning and to enable them to better integrate into their commands through information obtained via a personal portal web page and sponsorship

- **Acceleration of the CPO Leadership Initiative**

The CPO Leadership Initiative, which began in Dallas in June 2001, provided a set of core competencies required in all CPOs. These competencies were leadership, development of junior officer and enlisted sailors, communicating the core values and standards of the Navy, and serving the chain of command and fellow CPOs with loyalty. To ensure that these occur, it is proposed that an AI summit be conducted with select members from the officer and CPO participants of the current Leadership Summit. The goal will be to identify and clarify the respective roles, expectations and improvements to the relationship of the officers and CPOs that will produce an improved cohesive combat leadership team improving Navy mission accomplishment.

- **Create Command Indoctrination Leadership Course**

This will implement a philosophy of leadership at the lowest level and bring our vision of leadership to new sailors (E1-E4), beginning with new check-ins in Indoctrination.

- **Accelerated Sailor Assignment Program (A.S.A.P.)**

The purpose of this pilot is to link sailors and their families with their future, allowing them to identify with their new command and its leadership environment even before they arrive. We will accelerate the initial assignment of the sailor to his/her command and follow-on advanced training, allowing for earlier command intervention

- **Expanding CAP**

The pilot's vision: the Navy wants to promote the most qualified candidates to fill leadership positions. There is great support for the expansion of the percent CAP quotas currently applied to seagoing commands. This pilot will provide the groundwork for a future pilot with the seagoing CAP goal in mind.

- **Professional Certifications for Navy School Graduates**

Provide professional certification for sailors graduating from their Navy schools. Provide Professional FAA Certification for graduates of AMS "C" school by partnership with Federal Aviation Authority Certification Teams. This will improve AMS retention and professional pride in the AMS rating, enhance aircraft readiness, and provide tangible benefits to AMS sailors and their families.

- **Graduate Education Opportunities at Every Level**

Open military graduation programs to qualified enlisted personnel E-5 and above. This will inspire retention, meet educational expectations, and add diversity to the military force and to its educational programs.

- **Leadership Development Portal**

This portal will provide an interactive web site to share leadership experiences and leadership-in-the-spotlight stories (video) depicting strong deck plate leadership. It will also have a leadership training toolbox, pre-packaged lessons, reading lists/current leadership articles, and monthly leadership videos.

- **Early Delivery of Leadership Training: E-1 through E-5 Work Center Supervisor Training**

Send E-1 through E-5 to E-5 Naval Leadership Training Continuum. The reason for the early training is that E-1 through E-5 often get put in positions of leadership before they receive formal leadership training. Providing the E-5 LTC to more junior sailors will prepare them for future work center

supervisor and other leadership roles. Opportunities for “recycling” through the course would be available as a refresher as students promote and become more senior.

- **Destiny Worksheet**

The purpose of this important pilot is to establish a baseline leadership foundation, develop Navy esprit de corps, and provide the appropriate tools that are common to all Naval officers. Leveraging the success of TBS, the Navy should establish a similar opportunity.

- **Unit-level Leadership**

Provide training that will enhance mission readiness through constant reinforcement of leadership; reinforce leadership concepts and techniques; improve relationships within and throughout the command; further develop the CPO mess and CPO/WR relationships; improved productivity and risk taking.

- **Enhance the “Can-Do” Culture at Service School Command, Great Lakes, Using AI Techniques**

Energize staff at every level to seek innovative ways to enhance our “A” School (military) training at SSC.

- **Clarifying the Vision of the Navy**

The purpose of this pilot project is to establish a vision statement and guiding philosophy so that our Naval identity is clarified for all sailors.

- **Deckplate Snapshot**

We all have great stories to share with our senior leaders and congressional stakeholders, and our senior leaders have great insight to pass on to our deckplate sailors. Educate our seniors, our juniors and our civilian leadership on the great things our sailors do on deployment through a cross-section, cross-function area dialogue.

- **Prototype for Communities of Interest Portal**

Create communities of interest portal that link to the Navy’s portal (created by Task Force Web). This will leverage the work being done by the new IP community professional development portal project.

- **Learning Environment Seminar**

Enhance the learning environment within a Navy command. This will be achieved by developing and conducting a one-day (maximum) seminar for all leaders (officers, chiefs, petty officers) assigned to a command.

- **Choice Navy**

This pilot program would provide a website that would show portfolios of all ratings in the navy community vice recruiters deciding what potential recruits

need to know. This would provide prospective recruits with insight and avenues to explore career options.

- **A Series of Pilots that Build upon One Another to Address Leadership Training from the Earliest Periods of a Naval Career**

Augment the current teaching in leadership and values at boot camp and throughout the leadership continuum with dramatic stories from Naval history that will be remembered long after boot camp or the course. Institute brief leadership training periods at each command for E1-E3 personnel. The course would be scenario-driven and concentrate on applications to real situations.

- **Integrating the Family into Navy Life**

Develop a program that makes family members feel like valued members of the Navy.

- **Third Fleet Leadership Summit**

C3F will conduct a "C3F Leadership Summit" for our staff, focusing on the professional and personal development of all our team members.

During the presentation of ideas, the CNO addressed the subject of "covenant leadership" and discussed pilot project tie-ins to the work of Task Force Excel. The CNO stated that he wanted to continue to address performance appraisal problems.

Upon conclusion of the presentations, the CNO made his closing comments. A complete transcript is available at the Center for Executive Education website ([www.cee.nps.navy.mil](http://www.cee.nps.navy.mil)). He explained that the Navy must focus on vision, as well as on the audience to whom we are communicating our initiatives. He opened up the floor by asking questions of the group about stakeholders. The CNO went on to say that he was pleased with the event and that it is an interesting pilot project. He explained that "covenant leadership" is about making promises as a leader—and his promise was that he and the Executive Steering Committee would look at each proposal with a fine-tooth comb. He continued, saying that there had been an injection of leadership during the week and that covenant leadership is about making promises. Leaders, he said, have to empower and equip junior sailors.

ADM Clark then asked the group to define what victory means in this endeavor. Additionally, he posed two questions to the group: "What are we going to do next?" and "What will stand out the most?" He opened up the floor and continued a discussion with group on these points.



Finally, the CNO explained that he would take away from this process the power of listening. ADM Clark wanted everyone in the room to tell people about the experience they had at the summit. He closed by reading the one-word themes of leadership written at the bottom of the picture of the destroyer on the far wall.

After the CNO left, the groups were tasked with determining the "next step" for each pilot project and the relationship to the steering committee to help define how the group would go forward with this process. A representative of each possible pilot shared results of this discussion with the large group.

VADM Harms, representing the Executive Steering Committee, took the stage following the presentations to discuss the committee's future role. He explained that the Summit had generated many good ideas and that the role of the steering committee should be a "clearinghouse for results of pilots." He added that the "committee should provide a sounding board of how to proceed with pilot projects, as well as a base of power to knock down bureaucracy." The Admiral continued by saying that many of the initiatives proposed at the summit were already underway in some form in existing task forces such as Task Force Excel. Because of this, explained VADM Harms, the group should not pursue any projects that may be included in one of the existing task forces. In his view, separating these projects would be redundant and cause embarrassment to the Navy and the task forces. Discussion concluded with a participant who suggested that the Navy needed a permanent center for innovation to look at and fund pilot projects.

The final exercise of the summit was a closing interview with the participants' original interview partner from the first day. They were asked:

- "What is the one message you will bring back?"
- "What is the one action you are committed to as you leave?"
- "What one quality do you plan to develop as a leader?"
- "What is the one way you plan to support the leadership of others?"

Dr. Cooperrider then concluded by saying that each person is born to appreciate. Appreciative Inquiry and the Summit method are based on the idea that that each person is exceptional and essential and that each voice is equal. AI realizes that visions come forward as a full voice.

The final comments of the summit came from RADM Ellison, who stated that outcomes and changes from this Summit should not define success. "Success is not what the organization does [as a result of the summit], it is how each of us goes back to our command."

## **B. SUMMARY**

A complex and lengthy process led to the events of the Leadership Summit. The U.S. Navy chose to modify commonly accepted models of an AI-LGI to suit its own circumstances and desires. The results were modifications of the steering committee recommendations and further changes by the Chief of Naval Operations in the areas of topic choice, stakeholder representation, and size. The Navy chose to use the AI LGI as a method to change self-talk and as a beginning of a process by which leaders focus on the positive aspects of the Navy. The Leadership Summit produced a list of pilot project proposals in the area of leadership. No pilot projects or policy changes were approved or rejected by the CNO at the summit, and no mechanism for follow up or feedback was created. However, VADM Harms, Commander of Navy Education and Training, promised to establish a Leadership Summit web page as part of his command within 30 days.

The Center for Executive Education at the Naval Postgraduate School established a functional website within a week after the summit. As of December 2001, it was: [http://www.cee.nps.navy.mil/NewSite/leadership\\_summit.htm](http://www.cee.nps.navy.mil/NewSite/leadership_summit.htm). This website gives information about the Summit and allows visitors to sign up and support the pilot projects presented. This web site contains a list of all the pilot projects proposed, pictures of the art generated during the summit, a summary of activities, after-action comments from participants, and stories of leadership from the pre-Summit interviews.

Participants left the Summit with more than action plans, pilot projects and ideas. They left motivated, changed and empowered. Participants were proud to have had their voices heard and to be included in such a monumental task. The empowerment people felt was a product of the appreciative process that was used and the diversity that was present at the Summit. The entire system was in the same room, from research and development through assessment.

When participants were asked to identify the important values of the Navy, they that they had an opportunity to personally make a difference in this Navy. People were heard saying, “This is my Navy.” There was a sense of accountability in the room, as participants were taking ownership for their actions.

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## **VI. INTRODUCING GENERATIVE CHANGE MODELS INTO TRADITIONAL NAVY CULTURE: APPLICATION TO MARINE CORPS LOGISTICS AND FINANCIAL IMPLICATIONS FOR IMPLEMENTATION**

### **A. BACKGROUND**

In the previous chapters we traced the history of how DON has approached change and how the AI Summit represents a revolutionary conception of the change process. In Chapters III and IV we presented in detail how this first Leadership Summit evolved, from the steering committee's deliberations and topic choice. We summarized how the Summit itself involved a generative process of inclusion—"getting the whole system in the room,"—to allow diverse stakeholders to discover DON at its best and to surface innovative pilots. It is clear that this model of approaching change is new to command and control culture. This raises the question of how to make sense of the AI LGI within the context of traditional strategic planning in command cultures. With this in mind, this chapter returns to a theme we introduced in Chapter I— traditional change methods in DON—and discusses how an LGI would fit as a generative strategic planning method within a very traditional Marine culture—the Marine Corps Logistic Command. To bridge the various models and logics for change, we return to a very traditional model of diagnosis and strategic planning. We summarize conventional models of rational planning and make the case for how and why an AI LGI can be introduced into a traditional command and control structure. This model invites a consideration of diagnosing external environment, setting direction, organizational configuration, mechanistic vs. organic structures, and reward systems. Finally, we consider the financial implications for implementing Positive Change Summits throughout the Navy.

### **B. THE MODELS**

The first essential condition for an army to be able to stand the strain of battle is an adequate stock of weapons, petrol, and ammunition. In fact, the battle is fought and decided by the quartermasters before the shooting begins (Field Marshall Erwin Rommel).

This chapter discusses how the Marine Corps can use the Appreciative-Inquiry-based Large Group Intervention (AI LGI) as a tool within the strategic management

process to achieve the goals outlined in the Marine Corps Logistics Campaign Plan 2001. It begins by discussing the organizational systems model and continues by examining both the rational planning model and the political model as methods of framing strategic management.

In our judgment, analysis and problem-solving leads to incremental changes, and the marginal return on this total energy input decreases over time. Processes tend to be stove-piped with pilot projects isolated by and time and space. Stove-piped results developed independently of other system components are then passed from the top down to the entire organization without true stakeholder buy-in and system integration. The concept of decreasing marginal returns is true in business, economics, and system performance, and can also be applied to performance return on organizational design and processes. The large group intervention is inherently generative in nature, moving the organization into a new reality in which old problems are no longer relevant.

This organizational systems model provides the structural framework for the chapter. This model examines external environment, inputs, throughput (design), and results of organizations. The Marine Corps can use the AI-LGI as a tool to achieve the organizational changes outlined in the Marine Corps Logistics Campaign Plan. The chapter discusses changes within the systems model that must be made in order to change an organization's culture and outputs. An AI-LGI can be used in any of these stages to produce rapid and collaborative change.

Additionally, this chapter provides a model of an AI LGI that the Marine Corps can use as a tool within the strategic management process to change logistics education in order to solidify lasting change. Finally, it defines the critical success factors for further AI LGIs within the Marine Corps.

## **1. Strategic Management**

The Marine Corps can use AI-LGI as a tool to facilitate strategic planning and action in a variety of areas. We discuss three models in this chapter to help clarify the strategic management issues that AI-LGI can be used to address. The overarching model that provides the structure of the chapter is the organizational systems model as shown in figure 7, adapted from Nadler and Tushman.

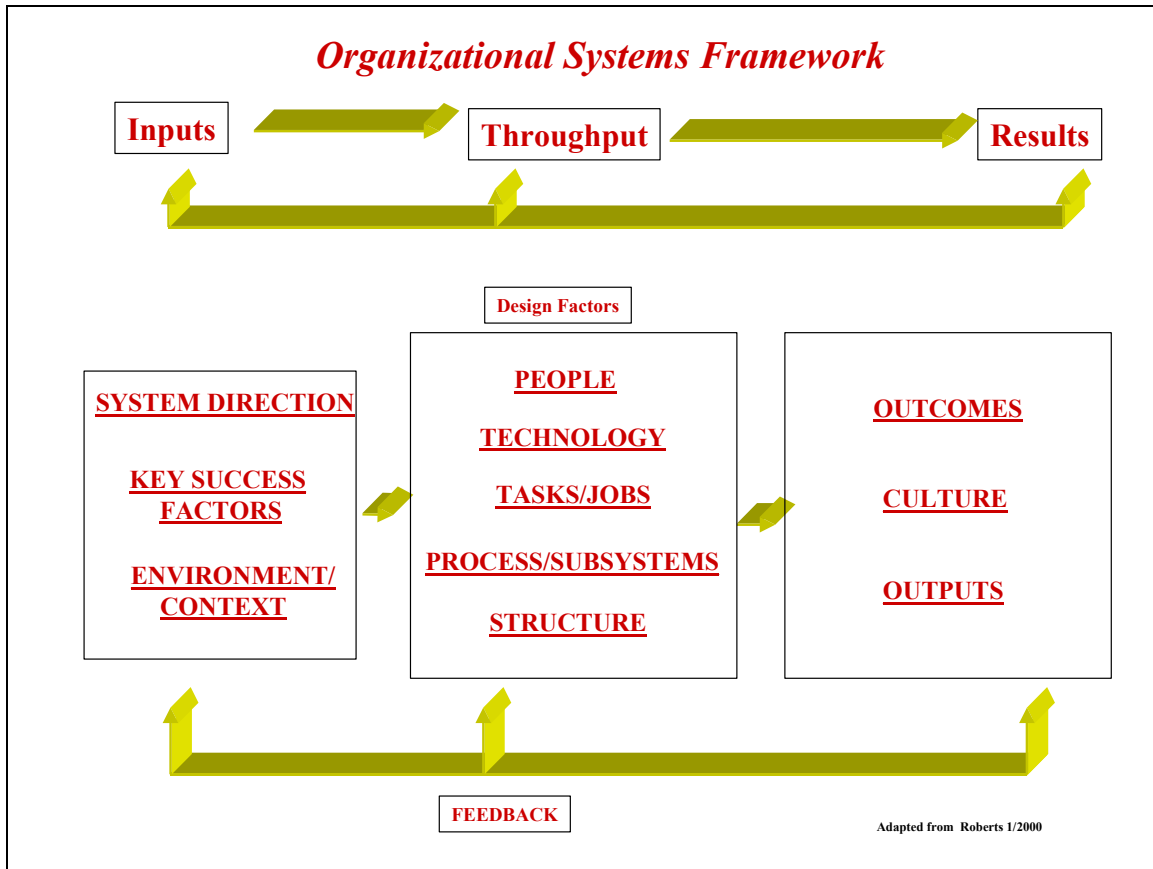


Figure 7. The Organizational Systems Model

A key assumption of the model is that culture, outputs, and outcomes *emerge* based on the inputs and the design stages of the model. Inputs in this model are direction setting based on an external and internal assessment. The Design stage contains policies, procedures, rewards, incentives, technologies and organizational structures at the strategic, operational and tactical levels. These components must be modified in order to produce a different result. The results of this model are culture, outcomes and outputs.

The second model discussed in this analysis is the rational planning model. (See Figure 8) In this model, consensus is not needed. Goals are clear and generally agreed upon, and leadership has the power to carry out the strategy they see fit based on the organizational mission and their vision for the future. This is the traditional method of strategic planning and the one most common within the military bureaucracy. When consensus is not an issue and goals are clear, this can be an effective model and usually is

implemented when leaders have the power to move the organization forward with or without agreement.

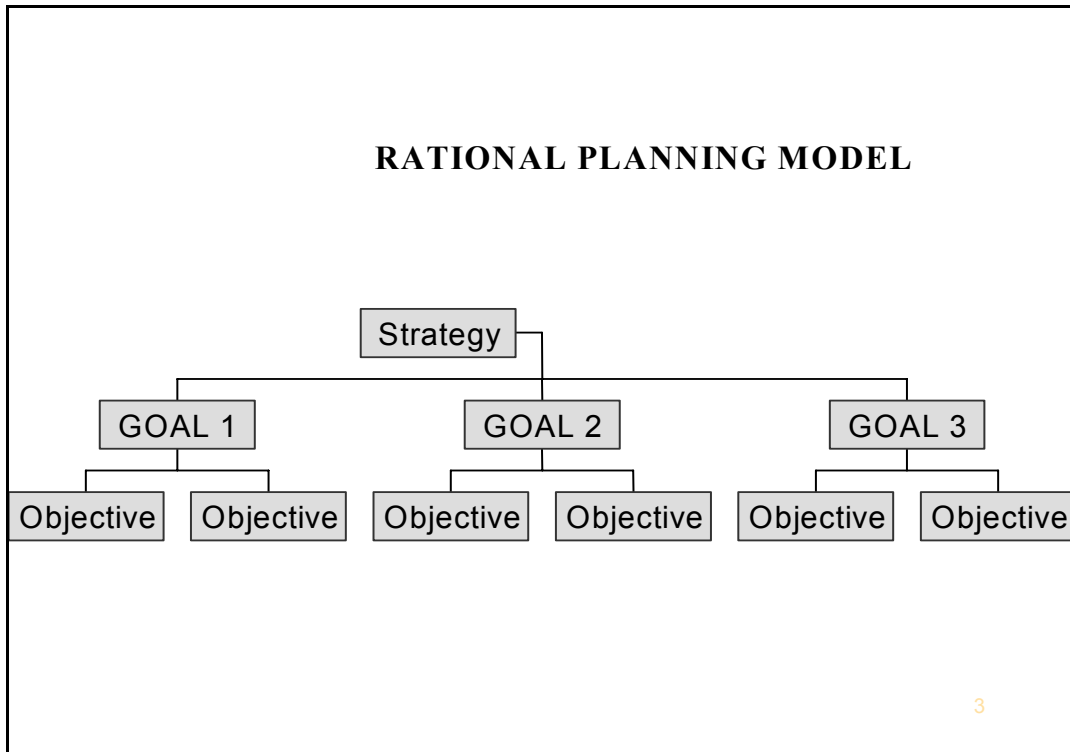


Figure 8. Rational Planning Model

When consensus does not exist and goals are not clear, the rational planning model does not work as well. In these cases, a different approach can be used at the highest strategy levels or anywhere else where consensus is not apparent. The political model (See figure 9) helps to move the process of strategic planning forward, even without a consensus. This model requires agreement only on the issues facing the organization. (Bryson, 1995) Issues are framed as strategic questions and follow a four-step process: 1) Can we do something about this? 2) Are there different alternatives? 3) Are there consequences if we fail to address these issues? 4) Rank alternatives and determine costs. 5) Align resources and take action. This can be accomplished either in a small group or as part of a large group intervention. (Simon, 2001) From that point, policies are developed to addresses the strategic issues raised in discussion. Although the Campaign plan addresses goals and strategies for the organization, there may be disagreement on the actual changes that must be made within each area to achieve them. In these cases, the issue model may be useful.



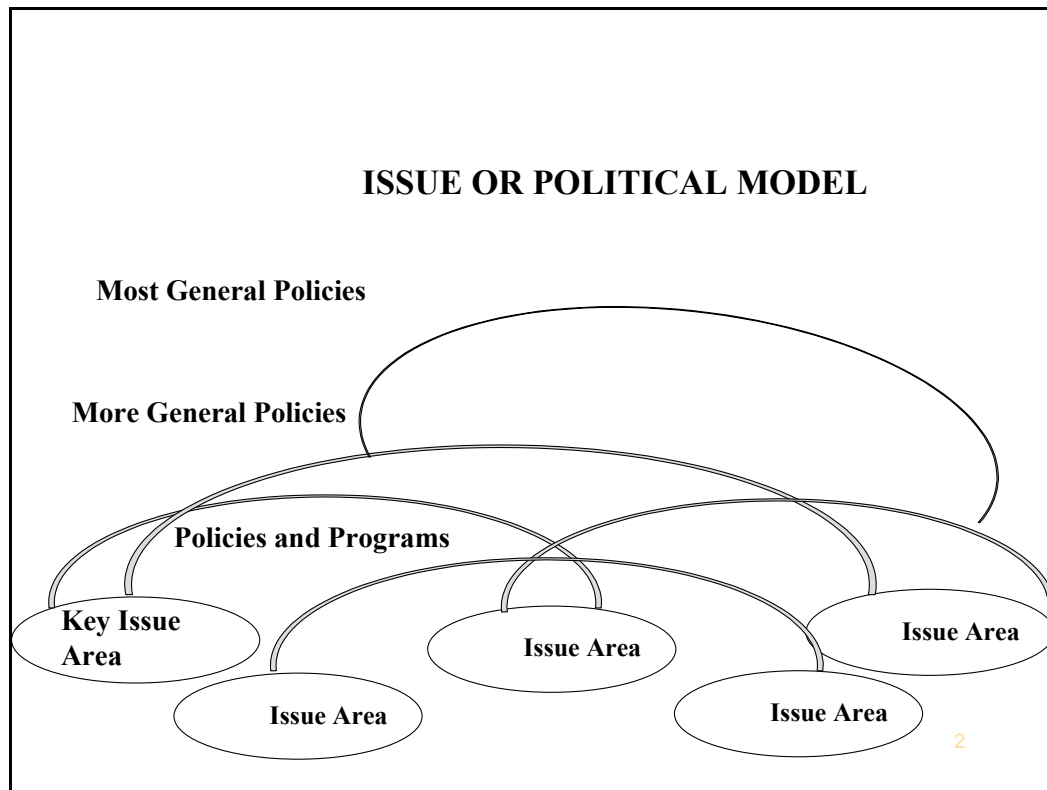


Figure 9 Political Model

## C. INPUTS

### 1. Examining the External Environment

The first step in strategic planning is to examine the external environment and identify stakeholders and their desires. Myriad initiatives are underway to realize Joint Vision 2010's "focused logistics" strategy. These programs are test beds for leveraging new technologies, promoting best business practices, and trying out new strategies for demand chain streamlining. All of these are efforts of motivated individuals and leaders to improve the system for all; however, current logistics practices remain fragmented at best, relying on outdated systems and processes that have been in place for the past 20 years: relics of the industrial age.

The need for speed, agility, dependability, and precision demand even further improvements in our logistics operations. As our warfighters migrate from the "mass model" of operations, our logistics system must continue to migrate to a lean agile delivery system focused on meeting

new warfighter needs—but at even lower costs. This migration is Logistics Transformation (Kallock, 2001)

Traditionally, logistics support centers are weaknesses to be exploited within the maneuver warfare concept. Who is more likely to be attacked by an intelligent enemy? Who is more vulnerable under our own doctrine? Is it the infantry company on the move or the motor transport convoy on a supply route? It is important to reaffirm here that the modern battlefield increasingly has neither front nor rear areas, and every member of the organization must be seen as a warfighter. U.S. doctrine dictates attacking enemy centers of gravity or weaknesses. Large supply dumps are easy targets. We must change the way we conduct sustainment at every level and even change the way we think and talk about logistics.

A new metaphor or mental model may be in order. The traditional mental model follows the model of a linear battle, with front line units (tooth) and rear area units (tail) providing support. This is no longer a valid assumption. A virus may be more appropriate than the tooth and tail. A virus is lethal, mobile, adaptable, integrated and operates with common purpose. Another metaphor could be a saw blade—dangerous at every angle. There may not be one correct answer, but the AI LGI helps organizations develop new language by building on past success while developing common ground for future action. People change, the world changes, and organizations must change with the times in order to remain effective. Truly great organizations change before they have to.

## **2. Vision and Setting direction through the Logistics Campaign Plan**

In the rational model, a leader or group of leaders identifies where they want the organization to be in the future. Along with the organizational mission, this vision drives the strategy- and goal-setting process. Consensus and stakeholder buy-in is not required in this model if leaders hold the power to implement their goals. Additionally, if there exists general agreement on direction and goals, then this model may work well for an organization.

The Marine Corps plan for strategic change Logistics Campaign Plan 2001 contained in the Appendix sets the course for the next six years. This plan provides the backbone of an effort by senior leadership to reengineer logistics policies and practices, leverage IT for Command and Control, and improve the education of professional

logisticians fundamentally altering the culture of logistics. (Logistics Campaign Plan 2001) The goals of the campaign plan include exploiting information and speed to improve logistics and expeditionary warfare. Marine Corps leadership seeks to institute cultural change, reengineer processes and practices, and integrate systems by leveraging technology at the strategic, operational and tactical levels of logistics. There is general agreement throughout the logistics community that these are the right goals for the organization in the near- to mid-term. The centerpiece of this plan is the Integrated Logistics Capability (ILC).

To improve management decision making capabilities, the ILC initiative will incorporate an integrated, data-sharing logistics information technology architecture and migration strategy, streamlined information technology acquisition processes and procedures, and a standard set of application programming interfaces to facilitate shared information among system applications. (Kallock, 2001)

However, changing the culture of an enormous bureaucracy with a vested interest in the status quo is difficult, even for visionary leadership, when using current incremental change processes centered on lengthy pilot projects and test centers. Additionally, this approach comes in the form of a top-down mandate. Even with general agreement on the goals of the plan, as in this case, implementation will be, at best, a slow process while all stakeholders digest the details and consequences of change. The process used to effect change can be as antiquated as the systems slated for improvement.

To achieve long-term change, organizational doctrine must be just as innovative as tactical doctrine. This includes a renewed focus on our traditional methods of change. These may no longer be the most effective methods for producing the results the leadership desires. LTGEN Gary McKissock, the senior Marine logistician explains that “an organization does not become healthier by focusing inward, nor do they maintain their competitive advantage by only maintaining present practices.” (McKissock, 2001) Marine Corps leadership in logistics may be limited to traditional methods of change within the culture. We see the trickle-down results of the campaign plan in an example from Marine Corps Logistics Bases in the Appendix. It shows the rational planning model at work. The rational planning approach used by Logistics Base Albany has been

modified to include stakeholder representation; however, this process can be made more effective by using an AI-LGI. The AI-LGI can be used to develop stakeholder consensus at an even greater level and achieve results much faster.

Military logistics culture is used to incremental change, pilot projects and top-down mandates with limited or no stakeholder buy-in. More often than not, change processes used by the military are inefficient and cumbersome. In essence, past logistics initiatives across DoD have done nothing more than “paint a rotting house” without addressing root causes of ineffectiveness and have done nothing to change culture. (Eaton, 2001) Even if new initiatives seem promising, improvements may be marginal, at best, and cannot occur quickly throughout the entire organization. For this, we need to examine new methods of change to rapidly effect change.

#### **D. THROUGHPUT**

This stage of the organizational systems model contains the actual elements of the organization that dictate the behavior of those within (culture) and the performance of the organization (outcomes and outputs). Changes must occur within this stage of the organizational systems model if either performance or behavior is to change. This section describes four areas in which the AI LGI can be used to effect change, all of which must be addressed to ensure organizational success. They are organizational structures, processes and practices, rewards and incentives, and people and education.

##### **1. Organizational Structures**

We must replace the thinking, the organizations, the processes, and the procedures of the past in order to effect change. We cannot assume the validity of our structures in the 21st century and must be willing to both examine them and take action to change them. As stated in the QDR, the challenge is great:

On the support side, the task is to remove layers that no longer provide value added. To accomplish this, the Department will initiate efforts in the following areas. Streamline the overhead structure and flatten the organization. Focus DoD "owned" resources on being excellent in those areas that contribute directly to war fighting. Modernize the DoD wide approach to business information; and Consolidate and modernize base infrastructure (QDR 2001).

To realize these goals, the organization must move towards the generative region of the model. Instead of inhibiting tempo, it can sustain it; and the AI LGI is a method to move the organization towards one based on learning.

To discuss how organizational structure can change, it is useful to examine our organization in the context of a model. Figure 10 provides this model and delineates rough boundaries between four types of organizations. This is important to examine since structures define the reporting relationships and philosophy of action. The four types of configurations that exist in this model are characterized by operating philosophy and level of stakeholder collaboration. They are also measured in broad terms of efficiency and effectiveness.

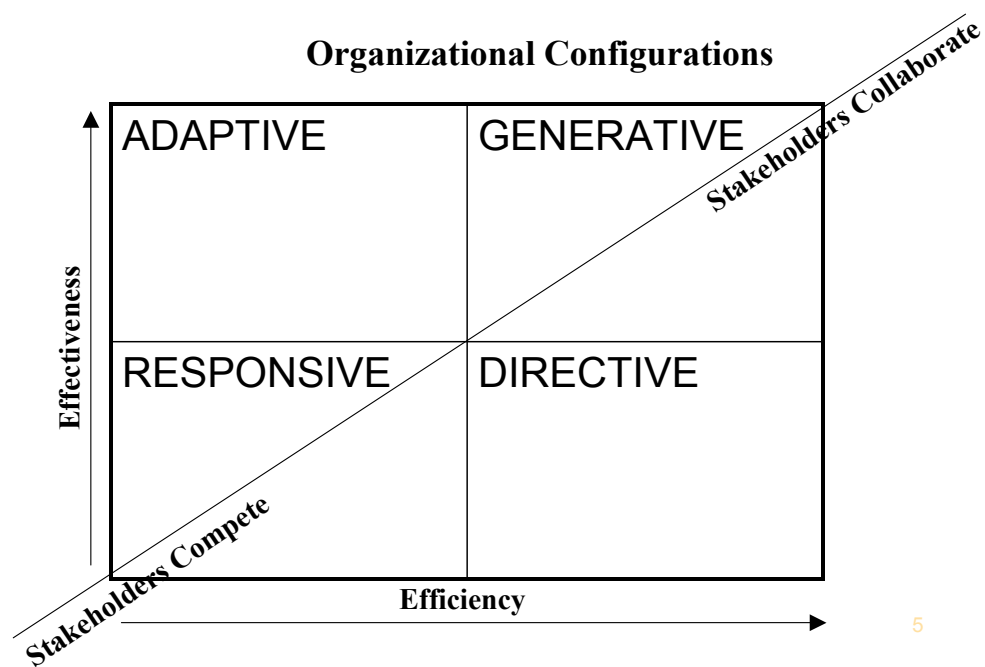


Figure 10 Organizational Configurations

Efficiency in this model refers to an inward operational focus and doing things well, or the capacity to produce results with the minimum expenditure of time money or material. Effectiveness on the other hand through the process of adaptation to the

external environment relies on serendipity, experimentation, novelty, free association, madness, loose discipline and relaxed control. (Roberts, 2000)

In this model, the basis of the Directive Configuration is "order"—this organization strives for optimal efficiency. The basis of the Responsive Configuration is "reacting"—this organization tends to muddle through day by day. Stakeholders compete at this end of the spectrum. The basis of the Adaptive Configuration is "innovation". This organization tends to optimize effectiveness while downplaying efficiency. The basis of the Generative Configuration is "learning"—this organization demands optimal efficiency and effectiveness. (Roberts, 2000) It operates with high stakeholder collaboration and is commonly referred to as a learning organization. Although most organizations operate as a hybrid somewhere in the model, it is a useful tool to examine the rough boundaries between organizational configurations. Successful organizations seek to optimize in the area that best fits their mission and strengths. The Marine Corps operates in a far more "Generative" configuration operationally. In garrison, it leans towards the Directive Configuration, tending to reward those who function well in it.

Military command and control provided a successful model that many large organizations adapted in the late 1880s in order to achieve higher levels of efficiency and greater production from a rapidly expanding workforce. (Army War College 1997)

Marine Corps doctrine is based upon the idea that combat organizations should be task-organized and flexible to accomplish the mission. As information technology systems become ubiquitous in logistics support, our systems become even more vulnerable to asymmetric threats. This is both a challenge and an opportunity. New technology allows us to reconsider the basic structures and effectiveness of our organization. What may once have taken a section of 20 Marines may now be accomplished more effectively using only three if we reorganize our structures and incorporate new tools. Technology and the talents of 21<sup>st</sup>-century Marines allow us to fundamentally reexamine the methods structures and doctrine upon which our operations are based. Failure to recognize this opportunity in logistics organizations is no better than failure to change infantry tactics upon introduction of the machine gun. Furthermore, this new paradigm must take advantage of available technologies and

talents of today's youth, and can be more organic in nature and move towards becoming more of a generative configuration.

Figure 11, from the Army War College, shows the migration from the Mechanistic/Bureaucratic organization to the Organic model

At left is the traditional mechanistic design that is commonly referred to as bureaucratic. At the extreme right is the free flowing organic design that is becoming more common in Toffler's fast paced Third Wave organizations (Army War College, 1997).

Toffler's book *Third Wave* describes in detail the shift he believes is occurring in society. Toffler believes that human history seems to fit certain patterns or waves. The first wave occurred when people moved from being hunter-gatherers to engaging in agriculture. Organizations were centered on this model as people began to cluster into villages and develop culture. The second wave centered on the advent of the machine in the industrial revolution, with the accompanying move of humans into city factories. Organizations were built around the machine metaphor. The third wave, commonly referred to as the information or knowledge age, is based on the mind and driven by demand for greater individual freedom. Toffler believes that we have already entered this age and that organizations must now change to take advantage it (Finley, 2001).

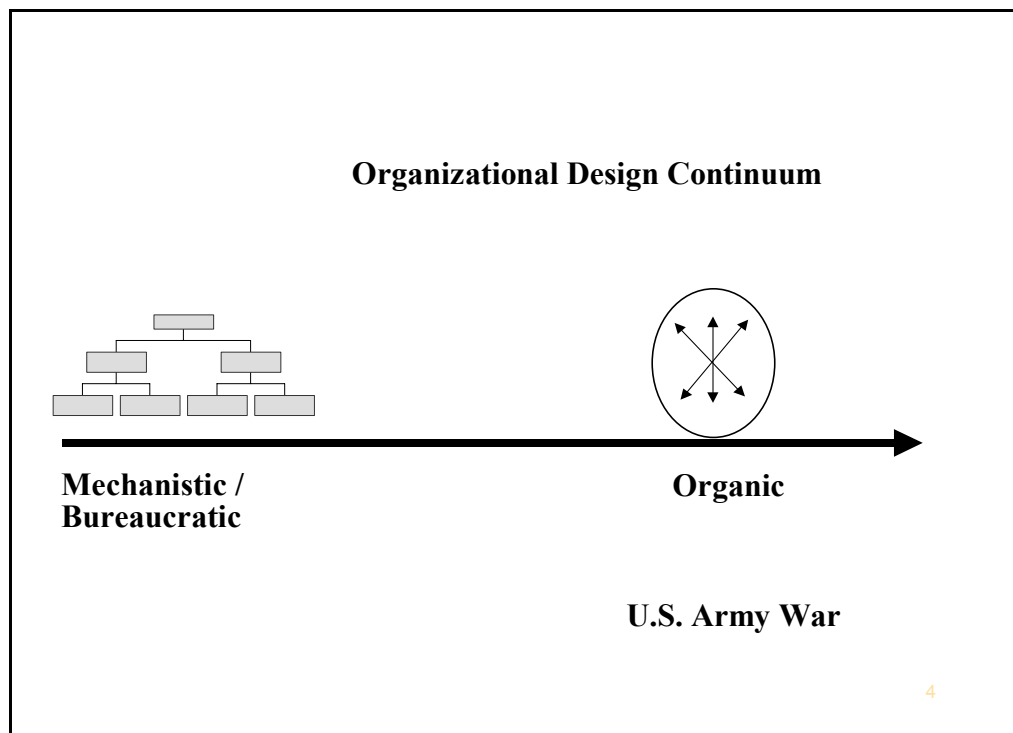


Figure 11 Organizational Designs Continuum

"Government's current structure is choking off the kind of performance needed to win back Americans' trust. We are at the point now when how government is organized is a major impediment to management reform." (Laurent, 2001) The governmental structure referred to here is that shown in the mechanistic model in table 2. This structure creates disincentives for innovation and creativity. The AI LGI can be used to examine and change structures at all three levels of logistics. At the strategic level, procurement, depot-level supply and maintenance, and supply chain management reporting can all be examined by bringing together decision-makers and stakeholders throughout the organization. We can look at the organization of our Acquisition pipeline, Systems Command, Logistics Bases, and overall Logistics C4I.



<b><u>Organizational Element</u></b>	<b><u>Mechanistic</u></b>	<b><u>Organic</u></b>
<b>Levels of Authority</b>	Many	Few
<b>Division of Labor</b>	High	Low
<b>Links to Others in Organization</b>	Few	Many
<b>Power Base</b>	Position	Expertise
<b>Use of Strict Rule and Procedures</b>	High	Low
<b>Primary Purpose</b>	Efficiency	Provide Framework to operate in Third Wave scenarios

**Table 2. Characteristics of Types of Organizational Design**

At the operational level, we can use the AI-LGI to examine formations within the Marine Air Ground Task Force (MAGTF) and optimize them to ensure effective and innovative sustainment in a joint and multinational environment.

At the Combat Service Support level, we can examine how to best organize forces to meet both the goals in the campaign plan and the needs of the future battlefield by truly leveraging available technology to provide the best support to the war fighting organization. Sustainment at the tactical level is crucial to the success of any unit in combat, and our own doctrine dictates attacking large logistics centers. It is crucial to develop mobile, effective and lethal organizations at this level. The LGI provides the forum to make rapid and collaborative decisions to change our organization with increased stakeholder contribution.

## **2. Processes and Practices**

The QDR outlines those areas in which DoD can improve.

The Department of Defense must transform its business processes and infrastructure to both enhance the capabilities and creativity of its

employees and free up resources to support war-fighting and the transformation of military capabilities. To accomplish this, DoD's organizational structure will be streamlined and flattened to take advantage of the opportunities that rapid flow of data and information present. As in business, entire functions need to be eliminated. Boundaries must be broken to accelerate change across the entire organization, promote cooperation, share information, and best practices, and institutionalize change throughout the Department. (QDR, 2001)

The Marine Corps has already addressed these areas in the Logistics Campaign Plan, but methods of change are not as effective as they could be. An AI LGI can specifically identify the items that must be procured in the future to support real-time communication and demand chain management at the strategic level. At the strategic level, acquisition personnel would participate in the process along with operators and communicators to ensure that logistics issues are imbedded in any strategic course changes.

Overlaying technology on antiquated organizational structure and processes is not the same as leveraging it. As COL Robert Love, director of the ILC points out:

We're still doing business the same way we were doing it 20-30 years ago. We haven't used technology in our behalf. Some systems we developed are very good but they are also very stove piped. Inventories should be managed under a single supply chain. (Erwin, 2001)

The Marine Corps uses between 140 and 200 computer systems for logistics applications alone. (Erwin, 2001). This has a direct effect on mission performance and recruiting/retention. These systems are the tools of the trade for logisticians, just as a 155mm howitzer is the tool for an artilleryman and a 7.62mm machine gun is the tool for an infantryman. Lack of logistics system performance should be as horrifying to the organization as failure of a weapon system to perform on the battlefield. If these systems don't function effectively, food, water, and ammunition cannot be delivered to the right place at right time on the battlefield.

These same energetic, intelligent and motivated junior officers and enlistees have grown up in an era when most, if not all, systems are digital and real-time. They know only a world in which computers, networks, and real-time integrated systems are used to enhance organizational performance. What 18-year-old Lance Corporal or 22-year-old Second Lieutenant wants to work in an organization that uses stovepipe systems based on

mainframe batch processing technology from the 1970s? Indeed, what member of that age group could even comprehend the reasons for using this technology, when integrated and flexible systems are used everywhere in the world, from a small town flower shop to UPS? Similarly, these same individuals cannot comprehend why the Marine Corps does not reengineer and integrate these processes. The Marine Corps Logistics Campaign plan addresses the future of logistics in the Marine Corps by leveraging technology, not by overlaying it onto existing systems. However, pilot projects and test sites may not incorporate needed changes fast enough and may fall into the trap of modifying existing systems instead of creating new ones. The LGI helps avoid this pitfall and provides the means to rapid and collaborative change.

The Revolution in Business Practices (RBP) seeks to leverage best processes and practices from the commercial sector. We cannot take advantage of the RBP unless we are willing to change our processes, policies, structures and procedures. Overlaying technology or new systems on old structures and procedures ensures failure. Rapid, radical, and total change can be accomplished through the LGI by bringing stakeholders and decision-makers together with the clear intent of enacting fundamental change.

### **3. Rewards and Incentives**

"In both the organizational structure and military culture, DoD must find ways to encourage and reward innovation and risk taking among fighting forces as well as support personnel." (QDR 2001) An LGI can be used to change rewards systems at all levels to induce cultural change on a large scale—rapidly and with buy in from all key players in the establishment.

As an example at the strategic level, program managers and contractors are rewarded on cost schedule and performance metrics, without regard to supportability or long-term readiness of systems. Supportability and readiness targets must be explicitly linked to the others, and logisticians must be held accountable and rewarded at all levels. RADM (ret) Don Eaton, Logistics Chair Naval Postgraduate School, states:

In legislating cultural changes in logistics we need to require Program Managers to be just that—*total program* managers and not just acquisition managers. They should be rewarded and promoted for demonstrating outstanding performance in all aspects of life cycle support. Since program managers already make a contract to the acquisition executives

for specified levels of performance, schedule, and cost, they should also make a contract for logistics readiness targets. (Eaton, 2001)  
The military-industrial-congressional complex has a stake in passing a program along the POA & M, and program managers must not be rewarded solely on the basis of meeting cost, schedule, and performance targets.

Additionally, logisticians are not rewarded at any level for reporting true readiness and performance or for blowing the whistle on antiquated systems that cap the mobility, survivability, and lethality of a combat unit. Logisticians are rewarded for bottom-line mission-capable vehicles, equipment and systems, without regard to the methods by which they achieve these goals. This is done even to the detriment of long-term readiness.

A cultural change here demands that provision of faithful support to operational units and absolutely faithful execution of well-established maintenance and support plans. We should reward the operating units for on time adherence to maintenance schedules by replacing airplanes, tanks, etc. prior to depot induction so that the operational unit maintains full strength. (Eaton, 2001)

Currently, Commanders at all levels have no real incentive to induct equipment on time since they may not receive any replacement in a reasonable time period. Indeed, they have no real incentive to even conduct proper maintenance for the long term since command tours typically run 18 months. A premium is put on operational tempo at the expense of proper maintenance. Commanders must be rewarded not only for operational mission accomplishment, but also for total system/total force performance, including logistics. (Eaton, 2001) Not only must we reward commanders for conducting proper maintenance, but we also must do everything possible to create the kind of systems that make it possible for individual Marines to do so. Part of the problem today is that the systems we use are so cumbersome and inefficient, it is nearly impossible to make mission in logistics without taking shortcuts. Indeed, taking shortcuts and working outside normal processes is sometimes the only way to accomplish the mission. While deployed, the fastest way to obtain a necessary part (and the only way to complete the mission at times) may be by using the telephone, completely bypassing the supply system. This news is not surprising to logisticians at every level, and it is unacceptable.

Good logisticians commonly succeed in garrison and while deployed by shortcutting systems widely recognized inside and outside the field as antiquated at best. We must find new ways to reward team accomplishment along with personal accomplishment. Commanders and their Marines must be incentivized either by fitness report or by awards to accomplish this but they must trust their systems. A new level of meritorious unit commendation may be in order to help accomplish this goal. Until we reward those who take proper action, we will never see changes in outcomes.

#### **4. People and Education**

Professional logistics education is the key to long-term transformation. Logisticians must understand engineering implications of logistics and how to get at balanced viewpoints; they must be technical. (Eaton 2000). A rigorous academic program should be established for all logisticians throughout their careers in order to infuse the best practices into our culture. Furthermore, the Marine Corps can take further advantage of the students leaving the Naval Postgraduate School and other logistics educational establishments, such as Penn State's logistics education program. Currently, management students are confined to only a few areas of the Marine Corps. Although they are needed in these areas, confining the pool this way suboptimizes the potential gain to the entire organization.

Students at the Naval Postgraduate School are exposed to best practices and the most effective methods of logistics and management at all levels. These students represent a *free* internal consulting service that could be used extensively in the fleet at the Major Subordinate Command Level. Spreading these graduates throughout the fleet as special staff to Commanding Generals would provide an immediate infusion of the best ideas from the civilian and military sectors. Doing so would also highlight the value of graduate education to warfighting MAGTF Commands at the Wing, Division, and FSSG levels. It would also go a long way toward helping retain the best and brightest of the community by providing them an opportunity to make a difference in the fleet. The future of the logistics community depends upon retaining these Marines at all levels. Indeed, across DoD, organizations are evaluating their human resources practices. "The services must rethink how they treat highly skilled people. Times have changed and so must the services". (Peters, 2001)

In the last section of the chapter, we describe how the large group intervention can be used to set the stage for long-term success of the goals in the campaign plan by focusing on professional logistics education.

## **E. CULTURE, OUTCOMES AND OUTPUTS**

Results fall into three categories: culture, outcomes and outputs. All three emerge from design factors in the model, and none will change without making changes there.

### **1. Culture**

Culture *emerges* from policies, structures, and rewards established in the organizational design stage. All of these things dictate individuals' behavior. A new culture will not emerge unless something changes within the organization. In his address to the 2001 graduates of the Naval Academy, President Bush described how culture must change:

We cannot transform our military using old weapons and old plans. Nor can we do it with an old mindset that frustrates the creativity and entrepreneurship that a 21<sup>st</sup> century military will need. Today I call upon you to seize and to join this tradition of creativity and innovation. Our national and military leaders owe you a culture that supports innovation and a system that rewards it. As president I am committed to fostering a military culture where intelligent risk taking and forward thinking are rewarded not dreaded. And I am committed to ensuring that visionary leaders that take risks are recognized and promoted. (Bush, 2001)

Marine Corps Leadership has already established consensus on goals, and this has filtered down from the top level to the major commands; however, the large group intervention can be the bridge between the concept and the action required to move the Marine Corps into the future. Current methods of producing change are based on adaptive learning, analysis, and incremental improvements. Future methods of change will be based on generating new organizations that learn and change to maximize effectiveness. These organizations are made up of people; culture is how people behave. If changes occur in the design phase of the model, the culture we want will eventually emerge and be self-sustaining. The organization itself can change. This type of change management will nurture and reward those who seek to improve the overall effectiveness of joint logistics systems at all levels of warfare in any environment

## **2. Outputs and Outcomes**

American businesses have achieved some of their greatest efficiencies and savings by reforming their supply chain process to remove steps, reduce inventories, and cut costs. DoD still maintains large inventories that could be substantially reduced by applying an array of supply chain practices. (QDR, 2001)

Potential outputs to changing design factors of the organization range from the strategic to the tactical in nature. All would improve overall effectiveness by moving the Marine Corps more towards the Generative Configuration. Benefits would include higher reliability of systems acquired, reduced footprint with less need for inventory and maintenance at all levels, higher operational availability of equipment, shorter cycle time, lower life cycle costs, improved supply chain management, and integrated and flexible organizations across the spectrum of warfare.

For example, significant returns on performance can be gained by developing new systems. Improving the Mean Time Between Failure (MTBF) of a system from 400 to 600 hours may take far more money, time and man-hours than developing a new system with an MTBF of 1000. The appreciative-inquiry-based large group intervention allows the Marine Corps Logistics establishment to abandon attempts to focus internally to solve problems in favor of a rapid, collaborative change method that brings together representatives of the entire system to produce change. Forcing institutional renewal and innovation in order to move into a better future can be realized. Creating new systems may be more effective in the long run than relying on fixing or improving old systems. Accomplishing the goals of the campaign plan require organizational change, and changes would bring about positive results in many areas. The question becomes how to achieve these goals in a short time frame. The answer can be the AI-LGI.

## **F. LOGISTICS EDUCATION SUMMIT**

The large group intervention gathers a horizontal and vertical cross section of the organization to conduct five general tasks in a compressed timeframe. They are 1) Review the past; 2) Explore the present; 3) Create an ideal future scenario; 4) Identify common ground; and 5) Make action plans. While there is general agreement that education is valuable, there may not be a consensus as to the specific actions needed to change existing systems. It is here that the issue or political model may be useful.

Instead of arguing at a summit about what the goals are, the model can be used to frame action in terms of strategic questions.

The seeds of long-term organizational change begin with education, which can have a tremendous impact on the organization as time goes on. Based on the summit model of large group intervention and lessons learned from the Leadership Summit process, we offer the following framework for how the Marine Corps logistics establishment can use a large group intervention.

Critical to the success of any large group intervention is identification of stakeholders' desires and concerns. The "Added Value Net," adapted from Brandenburger and Nalebuff (Eaton, 2001), can help to identify attendees at a summit on logistics education. Each player in the value net adds value to the process. While not identifying individuals, the value net is a useful tool to identify stakeholder groups from which participants could be drawn for an AI-LGI. This is a crucial process in the formation of a LGI. If key decision-makers are left out, or stakeholders ignored, the process will go forward sub-optimized at best. The value net is made of four parts that, ideally, are kept in balance around the process or function in the center. (Figure 12). The center of the model can be a business unit in the civilian sector or a process. In this case, we will put Marine Corps logistics education in the center. In order to optimize logistics we must strive for equilibrium in the value net. (Eaton, 2001) Each facet of the value net has relevance to the center and is a potential influencer of action. Each section can then be used to determine who the stakeholders of the organization are and what their desires are.



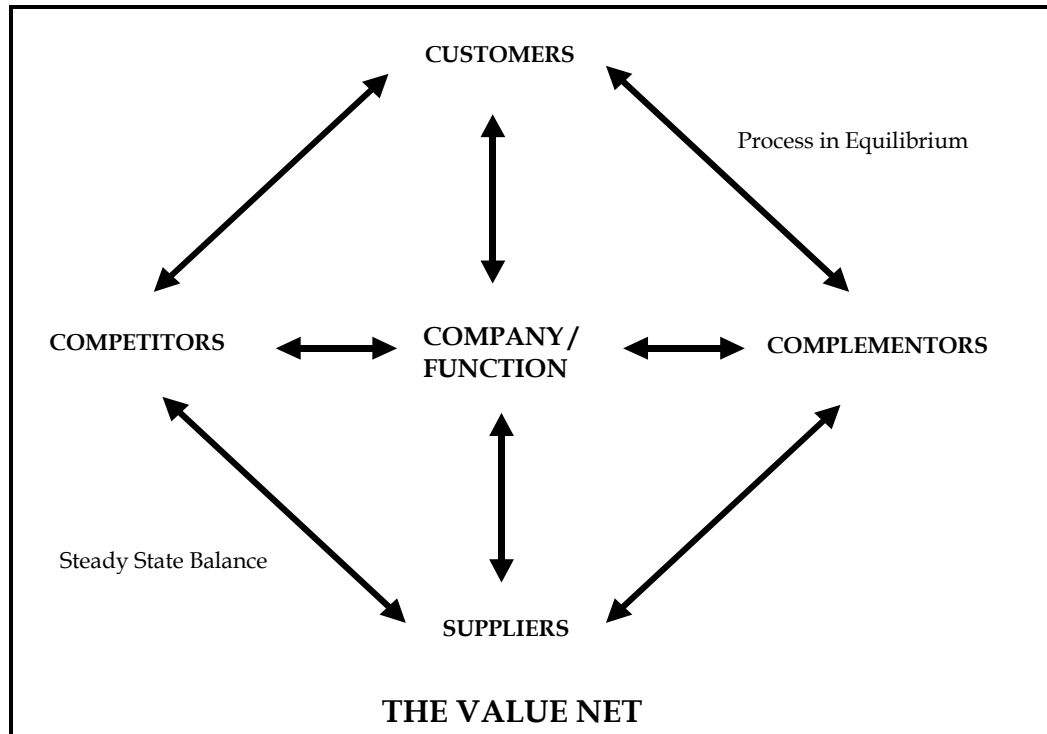


Figure 12 The Value Net

***Title: Shaping the Future of Logistics Education***

Using the Value Net as a guide, we have identified the following Stakeholder Groups:

**Customers (Users of logistics and those concerned with performance)**

Force Service Support Group, Marine Corps Logistics Bases, Marine Corps Material Command, Marine Corps Systems Command, Deputy Commandant for Installation and Logistics, Marine Expeditionary Forces, Marine Expeditionary Brigade, Marine Expeditionary Unit, Marine Division, Marine Air Wing, Congress Members and staffers

**Complimentors (Those who assist with the process)**

Naval Postgraduate School (School of Business and Public Policy), Army Logistics Schools, DoD Civilians, Industrial College of the Armed Forces

**Competitors (Those who potentially could provide the process or compete for resources)**

Commercial logistics businesses, Civilian business and engineering schools

**Suppliers (Those who provide education and those who provide the means)**

Marine Corps Service Support Schools, Marine Corps University, USMC Comptrollers, Congress Members

During the interview training session for the leadership summit, Dr. Fry made some comments regarding success factors for a summit. He stated that a summit is not designed to develop a consensus about where leadership needs to go. Successful groups all have developed mid-range and long-range targets and objectives. He further commented that he had never been at a summit where concrete change initiatives did not result, and he emphasized that the summit must not be a meeting with "nice discussion." (Fry, 2001) It must have purpose and action behind it, as Dr. Cooperrider noted:

- **Whole system in the room**—Identifying stakeholders who have a part in the process and can make a process move: 1) people who have information, expertise and wisdom about the topic; 2) those that have the power to empower and to block; and 3) people capable of being committed and who can build commitment.
- **Clear task**—Steering committee should pick a strategic level task: not a topic with which to build a better feeling within the organization, but a topic upon which something can be built.
- **Future focus**—Analysis of the [organization's?] history from the perspective of possibility before jumping to the future. Organizations, which have a relationship with their history and organizational history, should be evaluated to find out what should be kept while moving forward.
- **Self- management and dialogue**—There should be no speeches at the summits. There should be no script written behind the scenes. Senior people do not set the agenda. In an AI summit, answers are not with the leaders, but in the collective whole.
- **Common ground**—Tables with [people?] of [varied or similar?] specialties, ages, and experience. There is an explicit agreement up front that there is no need for facilitators. This empowers people to take a hold of the conference and make it their own. The conference recognizes differences of opinion and embraces them. When a tough issue is identified, it is labeled and shown to the entire group. The group moves on to other issues with common ground.
- **Uncommon action/follow-through**—The inspiration of the vision, the finding of common ground, the aspiration level and follow-through with tangible action plans.

The four stages of an AI LGI (Discover, Dream Design, Destiny) are described in earlier chapters. The Destiny phase is not only about implementation, but also about sustaining the process. Tangible results and decisions of whatever kind are the key to generating momentum from an LGI. This is the difference between an LGI and a

conference. If it is used to produce results, it will generate energy and momentum. The model for a summit described here establishes a first step towards institutionalizing long-term organizational change and developing plans for taking action. Actual results cannot be determined prior to a summit, but the stage can be set for positive resultant action. Roadway trucking used the following the sequence for a successful summit. (Fry, 2001)

- What were the things we preserve from the past?
- What are our change targets for the future?
- Put priorities on the issue most interesting place on opportunity map. [wording?]
- Identify clusters of interest and show on large sheets.
- Self-select into groups to work on action items.
- Develop aspiration statement.
- Develop action targets and plans to get there.
- Decide who is going to do what first and commit to action on the spot publicly.
- Clarification of next steps and open mikes for personal commitment.

#### **G. CURRENT FINANCIAL IMPLICATIONS**

The financial situation of the Appreciative Inquiry Leadership Summit was one of constant change. Meetings were continually being held to evaluate and reevaluate the current funds and projections of future funds. Because of this fluid environment, this chapter shows a snapshot of the finances in a chosen moment of time: three weeks before commencement of the Leadership Summit process.

The Vice Chief of Naval Operations (VCNO) gave the Center for Executive Education (CEE) \$100K to start this process. Prior to receiving the funds, the CEE paid (out-of-pocket) all of the necessary funding, which was approximately \$60K. These funds covered the events of the Steering Committee workshop and the Interview Team workshop. The details are outlined in the following paragraphs. It should be noted that once the CEE received the money from the VCNO, it used the funds to set up contracts with GSA for content expertise, specifically that of Drs. Cooperrider and Barrett.

During the Executive Steering Committee (ESC) meeting (which cost approximately \$35K to host), the members estimated that it would cost \$150K in additional funds to cover an increase in Summit size from 150 to 220 people. They also estimated that, because the Summit would have to increase in size, it should have three facilitators instead of two (Drs. Cooperrider and Barrett).

The ESC determined that, in order to have a robust interview team to go out and collect leadership stories, 49 people would need to attend the necessary training, and

about 20 percent of them would need assistance with travel. Along with the initial meeting, the ESC also expressed a need for the interviewers to come back to NPS to share their experiences and pick the best possible leadership stories. This event was scheduled for 8 October. All participants understood that they were to use their new FY02 travel funds for the return trip. The events of the interview team were estimated to cost an additional \$200K.

The summary below shows the estimated costs during FY01 for the Appreciative Inquiry Leadership Summit.

LEADERSHIP SUMMIT BUDGET:	<u>FY01</u>
Executive Steering Committee	\$35,000
Facilitation/Consulting:	
- Case Western University faculty support:	\$50,000
- Naval Postgraduate School faculty support:	\$60,000
Equipment for Interview Team:	\$ 5,000
Travel:	\$15,000
CEE reimbursement and faculty support:	<u>\$25,000</u>
Total:	\$190,000

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As previously mentioned, the CEE received \$100K from VCNO. Because figures for the Summit were not known at the time of the ESC meeting, they decided to have the December Summit participants pay for their own travel (NALO flights, etc.) and raise funds by reducing some facilitation. They asked NPS to cover some Summit expenses (i.e., registration fees) estimated at around \$25K.

The summary below, developed in August 2001, shows the estimated costs for FY02 of the Appreciative Inquiry leadership summit: [again , a figure might be better]

LEADERSHIP SUMMIT BUDGET:	<u>FY02</u>
Facilitation/Consulting:	
- Case Western University faculty support:	\$40,000

- Naval Postgraduate School faculty support:	\$60,000
(Post-Summit support)	\$40,000
Video tape production	\$10,000
Travel:	\$ 5,000
CEE reimbursement and faculty support:	
- FY01 travel	\$15,000
- FY01 equipment	\$ 5,000
- FY01 CEE staff	\$25,000
	\$45,000
Summit logistics & facilities:	<u>\$50,000</u>
Total:	\$250,000

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As the above paragraphs indicate, these were estimates that continued to increase as the complexity and size of the event grew. Also, as events came closer to happening, the costs could be defined more easily, and estimates not previously included (e.g., Anteon, food costs, etc.) were now published for review and discussion. The summary below shows the estimated costs as recorded in December 2001:

LEADERSHIP SUMMIT BUDGET:	<u>FY02</u>
Executive Steering Committee	\$40,000
Facilitation/Consulting:	
- Case Western University faculty support:	\$100,000
- Naval Postgraduate School faculty support:	\$120,000
Equipment for Interview Team:	\$ 5,000
Travel for Interview Team:	\$15,000
CEE reimbursement and faculty support:	\$25,000
Food cost for Summit	\$63,000
Anteon (Conference Company)	\$42,000
Videotape production	\$10,000
Transportation (Fm airport to hotel & back)	\$11,000

Supplies (items that were put on tables)	<u>\$18.000</u>
Total:	\$ 450,000

It is important to note that none of these aforementioned costs should be used as a model to implement other Summits within the DON. The reason is that this Summit represented a very large group of people who came from the entire Navy, instead of from just one command or one operational area. Because this was the first-ever Leadership Summit, and because the stakeholders were so diverse, the ESC attempted to provide items that might not be required in future Summits. Examples of this are the graphic artist who continually painted pictures while people spoke, shuttles to and from the airport and hotel and to and from the hotels to the Naval Postgraduate School, and constant videotaping of the event.

In order to provide a baseline of costs that could be associated with a Summit, it is important to evaluate the future financial implications of a Summit. The next chapter will illustrate this using a model that estimates costs for a 250-person Summit. This may also be a topic of interest for future financial management students thinking about writing their thesis on Summit costs and how they have changed since their initial implementation.

## **H. FUTURE FINANCIAL IMPLICATIONS**

The summary below is a listing of proposed costs for a 250-person Summit. This model should be used when estimating all future Summit costs and, in fact, was given to Commander Third Fleet as a baseline from which they were able to estimate their costs for their March, 2002 Summit.

### **Estimated Costs for a 250 person Summit**

<b>Conference Information</b>	
Hotel/Location	
Event Dates:	
Number of Attendees:	250.00
Length of Event in Days:	3.00

<b>Pre-Conference / On-Site Coordination and Travel Expense</b>	<b>Proposed Costs</b>
---	-----------------------

**Hotel Negotiations:** Identify locations both on and off campus for lodging; secure guest room blocks to meet the needs of the group. Arrange for meeting space at Club Del Monte for each day of the summit, including breakouts. Identify companies/organizations available to provide on-site audio-visual support to including digital video, web casting and a-v support for breakouts if required. Arrange for network connectivity in the Barbara McNitt Ballroom, including telephone and internet abilities for three administrative kiosks.

N/A

**Attendee Coordination:** Track registration via the internet, email or fax. Work with the event Program Manager to develop and maintain rooming lists for on and off campus lodging locations for attendees and their staff. Communicate via phone, email and or fax to attendees and their staff with any special needs or requests.

N/A

**Web Site and Graphic Support:** Design, develop and maintain the Summit web page, including a registration page, general information page, agenda page and any other special requirements.

N/A

**On-Site Support:** Three (3) Support Staff. Two (2) staff members to assist with any special requirements, on-site registration, coordination of food & beverage events, and with resolving administrative related issues. One (1) staff member to liaise with the various audio-visual, IT, and other communication providers to ensure a smooth flow for any AV-related requirement.

6,480.00

**Post-Conference Support:** Reconciling all charges related with the event. Updating attendee database. Providing speaker addresses for thank-you letters.

180.00

**Conference Coordination Totals** **6,660.00**

<b>Purchases</b>	
Nametags with O-Ring for Laynards for 300	350.00
Staples (Table Supplies)	700.00
Costco (Table Supplies)	130.00

Aaron Brothers (Easels)	150.00
Office Depot (Table Supplies, Easels & Cardstock)	1,100.00
Art Max (Butcher Paper)	100.00
Kinko's (Attendee List)	400.00
Printing of Color pages for mailing	350.00
Printing of Positive Image for mailing	150.00
Printing of Org. Dynamics for mailing	140.00
Postage for mailing	550.00
Printing of Summit Binder	900.00
Color cards for Dinner Choices	25.00
(poster boards)	2,000.00
Porterage charge	300.00
(Copy Machines)	2,000.00
Meeting Space Rental	5,000.00
Food & Beverage for 4 days @ a minimum of 15.95 per person per day	15,120.00
Lunch for 4 days @ 11.90 per person per day	11,900.00
AV Equipment Rental (4 9x12 screens with dress kits @ \$520 per day 4 data projectors @ 3000 per day)	15,000.00
<b>Purchases</b>	<b>\$56,015.00</b>

<b>Summary of Costs</b>	
<b>Conference Coordination Totals</b>	6,660.00
<b>Purchases</b>	56,015.00
<b>Subtotal</b>	62,675.00
<b>*15% G&amp;A Fee on Expense Totals</b>	8,402.25
<b>Dr. Barrett's NPS costs</b>	40,000.00
<b>Dr. Ron Fry's CWRU costs</b>	21,000.00
<b>Plus travel expenses</b>	5,000.00
<b>Research support</b>	6,000.00
<b>Diana Arsenian, graphic artist</b>	7,500.00
<b>Honoraria for external guests (travel + expenses)</b>	15,000.00
<b>SUB-TOTAL COSTS</b>	<b>\$165,577.25</b>
<b>Management Fund for unknown unknowns 15%</b>	<u>24,836.59</u>
<b>TOTAL ESTIMATED COSTS</b>	<b><u>\$190,413.84</u></b>



Some of the less obvious future financial implications that will need to be evaluated are items such as the establishment of interest in this large group intervention process. The Appreciative Inquiry Summit came about due to another program (“30-Something”), which had gained visibility at the highest level and, therefore, was not included as a “cost” of this process. If, however, another organization within the DOD attempted to utilize Appreciative Inquiry as a large group intervention tool, it would have to add in a “start-up” cost, which, again, was not figured in this model.

The known costs are outlined above and include such items as consulting, interview team process, facility costs (to host a summit), facility support and videotape production. Again, NPS had an established infrastructure to support this process, which saved a lot of costs that might have been added onto this list. Examples of these are secretarial and copier support, use of computer facilities, and rooms in which to hold impromptu meetings.

Some of the less obvious costs—including training facilities, reading materials, trainers (facilitators) and meetings—would also have to figure into future cost models. The costs incurred would most likely depend on the size of the desired change and are best estimated on a case-by-case basis.

Again, this chapter is not a comprehensive evaluation of all of the costs that will be associated with the Appreciative Inquiry Summit, but instead, provides an estimate of the known and projected costs at a particular moment in time.

## **I. SUMMARY**

Consider the follow question: “Should the military focus on improving the performance of a horse?” Clearly not. Using organizational energy to improve this mode of transportation would be seen as foolish in the year 2002. But how foolish would that same study have been in 1910, when the potential of the automobile had yet to be realized? The marginal return of any thesis based on improvement of equestrian technology has long since approached zero. Similarly, traditional methods of change in 2002 are suboptimized. The world has changed, people have changed, technology has changed—and thus organizations must change to remain successful. We are in a similar period now, with antiquated systems, processes, and organizations that no longer produce

added value. Just as U.S. military logisticians moved from the horse to the engine, we must be willing to do the same with our organizations.

The Marine Corps has recognized this and is willing to make organizational changes on a grand scale. However, the change methods can be improved. A Large Group Intervention with an Appreciative Inquiry framework provides the method to enact changes to organizational doctrine. We must focus on organizational doctrine with the same energy we expend on warfighting doctrine. In the 21st century, these two concepts are one and the same. Our current organization *inhibits* tempo. In order to realize full potential of maneuver warfare, our organization must sustain or increase tempo.

We believe that the Appreciative-Inquiry-based Large Group Intervention is ideally suited for the Marine Corps as a method for change. Marine culture has some unique elements that make this method for change a good fit. The Marine Corps fosters a culture that rewards those who innovate, adapt, and overcome and is very proud of its historical accomplishments. Marines are aggressive, decisive, and pride themselves on innovation. Furthermore, Marines believe in accomplishing the mission the most effective way, without regard to rank and experience. There exists general agreement on the goals outlined in the Logistics Campaign Plan. The Large Group Intervention provides the tool to rapidly achieve changes needed to attain those goals. This process allows the Marine Corps to set aside antiquated methods of change in favor of a more responsive one.

To truly leverage technology, the Revolution in Business Practices, and, most importantly, the talents of individual Marines, we must look at new ways to implement change quickly and effectively across the organization. If we choose to do so, we can make a quantum leap in performance. Fifty years ago, IBM structured itself after the U.S. military model because it seemed to be the correct structure for the time. Today, IBM does not. The world and people have changed over the last 50 years, and organizations have changed in order to best leverage the talents of people and their use of technology. In the private sector, those who have not changed have become non-competitive and faced extinction. In an organization where lives are at stake, we cannot afford to remain fixated on the past. We must be willing to abandon the old ways of change in order to get back in front on the road to the future, where organizations will

again emulate our operations. The Large Group Intervention is the tool that makes this leap possible.

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## **VII. SUMMARY, CONCLUSIONS AND RECOMMENDATIONS**

### **A. THESIS SUMMARY**

Our thesis documented the introduction of Appreciative Inquiry and the Appreciative-Inquiry-based Large Group Intervention to the U.S. Navy. These methods have been found to be an effective method of producing rapid and collaborative organizational change.

We introduced the concept of Appreciative Inquiry as a methodology and examined the history of this process. We reviewed studies that explore how appreciative inquiry has been successfully used in the private sector when combined with a Large Group Intervention (LGI). Next, we documented the history of successful and unsuccessful change efforts within the Navy over the latter half of the 20th century, noting how the Navy has traditionally managed organizational change.

The thesis documented the introduction of Appreciative Inquiry to the U.S. Navy. We chronicled the events leading up to and including the December 2001 "Leadership Summit," which used AI as the basis for a large group intervention. We documented the meeting of the ESC; we analyzed the 270 appreciative interviews using ATLAS.ti qualitative analysis software.

Finally, we studied the concept of the AI-LGI as it relates to strategic management in U.S. Marine Corps Logistics. The Marine Corps has outlined its logistics strategy in the Logistics Campaign Plan 2001. We showed how LGIs can be used to attain rapid and collaborative implementation of the goals outlined in the Marine Corps' plan, specifically in the area of logistics education.

### **B. RECOMMENDATIONS**

The Leadership Summit was an exceptional event and stands out as unique in the context of change efforts in DON. Many of these social and organizational innovations --- involving the whole system in generating ideas for change, including diverse participants in dialogues about the future of the DON, highlighting peak experiences and examples of exceptional leadership to trigger ideas for future planning -- were unique and provocative. As a result of this summit 30 pilots were proposed, many

of which could have major impact for the future of DON. These pilots, and the post Summit activities, deserve further research.

One lesson that was reinforced in this summit was the important role of the steering committee. The steering committee made many key decisions that required ongoing commitment. They decided on the title of the summit, the number of pre-summit interviews, which pilots to support. At the summit itself they helped support the flow of dialogue and often gave public testimonies that helped familiarize participants with participative methods.

Another lesson that was gleaned from the summit concerns supporting pilot projects. It is important to have a support structure in place prior to the summit to facilitate pilot proposals and experiments that come out of the summit. People tend to have energy to act immediately after the summit. It is important to provide support for task forces and pilot groups to communicate and plan. In this regard, information technology is an important driver. However, it is not enough to create a “a passive internet portal or a pull” technology. As research has shown, communities of practice flourish when there is a forum for a collective conversation that is actively supported by a conversation “holder,” someone who actively seeks input from members and encourages them to enter and read data.

A recommendation for the interview process is to make the interview protocols short enough for interview teams to complete all questions and to focus on the desired results. In their feedback, many of the interviewers stated that one interview took them more than eight hours to conduct, type up and send in to be analyzed. This process is too lengthy, and operational units do not have this amount of time to spend on one interview. Future researchers might want to encourage the use of hand-held recorders.

### **C. RECOMMENDATIONS FOR FUTURE RESEARCH**

We recommend that further research be conducted in the following areas:

- Conduct a study on the types of organizational changes that were implemented as a result of the Leadership Summit. In particular, it is important to follow the pilot projects to determine what factors lead to successful implementation of creative ideas.

- Study the impact of the Summit on DON personnel who did not attend. How are others informed? How can a wider circle be included?
- Track the progression of how AI was introduced into other commands and organizations throughout the Navy following the Summit.
- Conduct research on some of the specific outcomes of the proposed pilot projects and the effects they had on the pertinent commands.
- Continue to evaluate the mechanism for feedback that was created with the Summit and how this mechanism could be improved using the model that the Information Professional community has generated.
- Conduct a study on the major decision points that are required when planning a Summit for different sizes and types of organizations. Such a study could show how this process can be streamlined and be made more efficient for different types of organizations.

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## **APPENDIX A. STEERING COMMITTEE, INTERVIEW TEAM, AND SUMMIT MATERIAL**

### **1. Minutes and group process, diagrams and charts**

#### **a. DAY 1**

The steering committee met in the Center for Executive Education (CEE) at the Naval Postgraduate School. Professor Barry Frew, Director of the CEE, and Professor Frank Barrett began the meeting by describing new ways of thinking in the private and public sector. Furthermore the hope that military can take advantage of those ideas. Professor Barrett made an effort to focus on the positive use of appreciative inquiry as a method growing in popularity and one, which could be used to effect rapid collaborative change within the Navy. He continued by describing the differences between Appreciative Inquiry and the failed Total Quality Leadership (TQL) initiative in the early 1990s. He explained that this group is special and has a chance to make a difference based on the opportunity to do so by Chief of Naval Operations.

Dr. Cooperrider asked each member to introduce him or herself. In addition to introductions, he asked them to comment on the Navy's capacity for change and what excites them about Appreciative Inquiry. Responses were generally positive and followed the intentionally positive nature of the question. Some responses to the question were:

- Appreciative Inquiry puts a positive spin on problem solving*
- We need to break away from policy and escape from paradigm of negativity*
- I want to draw from experience in the room*
- I am excited to put things together that can be executed. Not just an academic exercise*
- Sometimes the organization is the problem*
- This is Reminiscent of Adm Zumwalt: Listening and Leadership*

Dr. Cooperrider began his introduction to Appreciative Inquiry by relating stories about large group change, the power of guiding images, belief and vision. He explained that revolutionary change is possible for the military as well according to Admiral Owens former Vice Chairman of the Joint Chiefs of Staff. He continued that once people change their image of the future a shift in structure would inevitably follow. He then posed a

series of questions to each member. These questions were a condensed appreciative inquiry protocol.

1. Think about a high point, a time when you made a difference, felt proud, successful or made change
2. What do you value most within yourself? Your work? The navy?
3. Relate a story of leadership. The kind of leadership we need and want more of in the future navy. What does this story illustrate about leadership?
4. Name three things that the navy does the best right now – three things that we should not change in the future because we do them so well.
5. Name three trends you see in the navy or in society that you the sense that real changes, positive change, is possible? These things should give you a sense of urgency, that it's time to act now.
6. Think about the navy that you most want to be a part of in 2010. We go to sleep tonight and we don't wake up for 10 years and the navy became exactly as you envisioned it – what is happening that is new, different and how do you know?

After members had time to collect their thoughts and write out responses, they formed two person teams to discuss their answers. Participants were asked to look for root causes to answers and to dig deep into the challenges that existed during each situational answer.

Following the interviews Dr. Cooperrider asked for adjectives to describe the interview process and storytelling. All agreed the process was worthwhile and many communicated that they felt a genuine connection to the other person. Some words used were energizing, encouraging, enlightening, quick, informative and educational.

Dr. Cooperrider then highlighted concepts from a conference during the early years of Appreciative Inquiry development in which different disciplines came together. Dr. Cooperrider continued the lecture and discussed how positive images relate to positive action, how a vision can be very powerful, how the rise and fall of cultures can be traced to guiding images and how a healthy inner dialogue can lead to positive action. These concepts apply both to individuals and organizations. In a video taped interview with Dr Cooperrider, the Chief of Naval Operations specifically targeted deficiency based dialogue as a problem within the Navy.

Dr. Cooperrider explained the logic of Appreciative Inquiry as a method and approach to change. He related that in the 1980's, the organizational behavior community was discovering the power of change efforts. AI allowed an organization to develop a clear and deep vision for the future. Those developing AI sought to go beyond the cliché that 'leadership is vision'. So, a conference was held with scholars from different disciplines. The group found that by combining their strengths the result was powerful. The conference highlighted the following ideas:

1. *Placebo effect in medicine*- Positive images about the future have a positive affect on the present. The more positive a patient is about the outcome the more positive they are about the doctor and healing. Images and action are related.
2. *Imbalanced "Inner Dialogue"* – A guiding image can be found in inner dialogue. In healthy groups positive self talk over negative self-talk 2:1 ratio. Positive self talk outweighs the negative self talk
3. *Pygmalion Effect* – Behavior is based upon self image. The Pygmalion effect takes place within the first 15 minutes of interaction and tends to last the life of the relationship. Leadership creates an alignment of strengths.
4. *Affirmative Capability* – Some individuals, societies and groups are better than others at transforming images into action. The mind does not read, "do not's and don't's" it only reads images that are discussed within the framework
5. *Positive Affect* – The rate of learning and sustaining power can be accelerated when individuals and groups focus on positives instead of negatives.
6. *Rise and Fall of cultures* - In cultures where people believe that they can change the future – a new dynamic is more likely to occur

Dr. Cooperrider asked the group to identify Pygmalion and other events occurring within the DON. The committee was very interactive, animated and came to the conclusion that the most important things leaders of change do is lift up images of the future.

The committee formed subgroups of six persons each. Groups were instructed to highlight their high point stories and their vision of leadership in Navy 2010. Groups were also told to nominate a spokesperson whose responsibility it was to brief out their group to the big group. The small group was also asked to bring one good story of great

leadership that gives an image of the kind of leadership that that group wanted for the Navy.

1. **Recurring themes high point stories**

- Early opportunities to grow
- Trust
- Contributing to individual and group success
- Recognition
- Empowerment
- Risk – encouraged to take risks and acknowledged for them
- Authority to accomplish difficult task.
- Doing something important.
- Empowering people to move beyond their own skill and experience levels.
- People focused

2. **Year 2010**

- Navy as employer of choice*
- Balance between family and mission
- People have first choice for job
- Individual involvement and responsibility
- Cutting edge organization
- Better quality of life.
- Expanded career path.
- Change as way of life to move forward.
- Open and honest dialogue within the organization
- Individuals and the Navy will be recognized for competencies by those outside of the Navy

The small groups of six then assimilated the data and presented it to the large group exploring the answers to two positive questions. “Describe a high point so far in your Navy Career” and “What the Navy will look like in the year 2010”

The group discussion highlighted two important stories of high points. The first story was about an E-5 who served on a submarine. His wife was allowed to come on board and to learn about his profession and the measures of respect he enjoyed from his shipmates. This allowed his wife to gain a better understanding of why he had to work so late and how respected he was because of it. This helped ease the tension that had existed between he and his wife and his late work hours.

The second story came from an E-2 who obtained his warfare qualification pin at that rank. When he was told that it was only obtainable to those who were E-5 and above

he pressed for another answer and broke the paradigm. He was the only person to get his pin during an oral board, which also included some E-6's. He felt proud and held his head high as he walked through the hangar deck feeling more a part of the group. This helped him because he is a surface warfare sailor in an aviation squadron.

Dr. Cooperrider continued his lecture by discussing two types of organizational learning and the limits of the adaptive learning approach. He explained that adaptive learning tends to reinforce the status quo and establishes a culture that expects deficiencies. Generative learning seeks to appreciate what is best to move forward outside the universe that created the problem. Generative Organizational Learning appreciates and value what exists. The group studied how to focus on a vision of where they want the organization to go instead of focusing on what they don't want. Dr Cooperrider explained that organizations are made and imagined and it is imagination gives life to the future. Dreams mobilize people and within each of us are the guiding images that determine our behavior. Appreciative inquiry sets the state to see organizations are centers of infinite potential and positive energy not continual problems.

Finally Dr. Cooperrider touched on what he considered the most important task of the committee: Affirmative Topic Choice and framing the topic. He explained that the Navy tends to be largely deficit focused such as sexual harassment training. The Navy focus upon elimination of sexual harassment is inherently negative and will not solve the problem. Using appreciative inquiry logic, the Navy must first think about how it can attain organizational harmony? How can it build upon joint co-leadership by creating categories for positive relationships? He lectured regarding the 4 Ds of appreciative inquiry: Discover Dream Design Destiny

The large group was instructed to go back to their small group and formulate some choices for topics – based upon what they said about their high points and the year 2010.

They were assigned to create three possible topics for an appreciative inquiry that should be generative, creative and should spark an incredible conversation with members of the Navy.

b. DAY 2

The day began with Dr. Cooperrider highlighting high point experiences – The following are topics (thoughts) that were shared from the six person small group to the large group concerning topics for a possible AI summit:

1. GROUP ONE – This group returned with words such as passionate leadership, roving leadership, digital victory, creating connections, covenant of trust. Once they began to describe what leadership is and have a discussion about it, they discussed the adjectives passionate, impactful, trusting and trusted, empowered and empowering, global and personal, situational, confidence and competent. There was a discussion on multi-dimensional leadership and how difficult it was to define it. Later in the evening this group developed a mind map that captured the comments and showed the connection.

2. GROUP TWO – This group did not constrict their topics to just leadership. Instead, they wrote sentences. The first was “The Navy is an employer of choice in our country and young Americans are knocking down the doors to join and stay with us”. The second sentence was: “Education of choice and unlimited career opportunities.” The group discussed how all of these are multidimensional. They stated that leaders recognize leadership as a way of life. This group broadened beyond the scope of leadership. They sought to answer the question – Leadership for what? Leadership for why? They believed there must be some end output for the future otherwise there is no reason to devote energy to develop it.

3. GROUP THREE – This group wrote nothing down from the discussion. They tried to come up with some bumper stickers. The first topic was “Naval Leadership: Yesterday, Today and tomorrow.” Their goal was to both tie in heritage and look into the future. The second topic focused on “Naval Leadership: Attracting the best and the brightest in the world”. The third topic they discussed was “Multi-dimensional leadership - committed to individual’s family and mission”. This group felt the Navy pays lip service to the family up to the point of actual daily life and operational duties. They believed the family couldn’t be left behind anymore if the Navy is to become a real employer of choice.

The group discussed the small group interactions struggled to determine what the “Leadership Summit” was trying to address – leadership or culture. The group continued this discussion the remainder of the meeting. As the debate tailed off Dr. Cooperrider began describing four common approaches to change and the key factors for a successful AI summit:

1. Whole system in the room- Identifying stakeholders who have a part in the process and can make a process move. (1) People who have information, expertise and wisdom about the topic. (2) Those that have the power to empower and to block. (3) People capable of being committed and can build commitment

2. **Clear task-** Steering committee should pick a strategic level task. Not a topic to build a better feeling within the organization but a topic upon which something can be built.

3. **Future focus-** Analysis of the history from the perspective of possibility before jumping to the future. Organizations, which have a relationship with their history and organizational history, should be evaluated to find out what should be kept while moving forward.

4. **Self- management and dialogue-** There should be no speeches at the summits. There should be no script written behind the scenes. Senior people do not set the agenda. In an AI summit, answers are not with the leaders but in the collective whole.

5. **Common ground-** Tables with of specialties, ages, and experience. There is an explicit agreement up front that there is no need for facilitators. This empowers people to take a hold of the conference and make it their own. The conference recognizes differences of opinion and embraces them. When a tough issue is identified it is labeled, shown to the entire group. The group moves on to other issues with common ground.

6. **Uncommon action/follow through-** The inspiration of the vision, the finding of common ground, the aspiration level and follow through with tangible action plans.

Dr. Cooperrider showed the committee a film on a large group intervention with Roadway Express Corporation. After viewing the film on Roadway Express large group intervention the group highlighted member confusion on implementation as well as topic choice that would effect change within the entire Navy as it had at Roadway. They continued to question the possibility of tangible results from the summit. A video taped interview with the Chief of Naval Operations was shown and upon its conclusion the group refocused on enlightened leadership as the topic of the summit. The large group was then instructed to re-form into small groups of six people to come up with ONE topic for the summit and to present it to the large group in one hour. Summit topics from the small group were then presented to the large group.

1. **GROUP ONE-** The group was concerned about “bumper sticker” business and wished to pick a topic that acknowledged the cynicism created by the “Accelerate your Life” slogan and build upon the foundation that has been formulated. They saw enlightened as a varied term. It can mean remaining current, having a knowledge and system base that keeps you current. They believed that one of the questions that needed to be answered is will “walk the talk” resonate with everyone? The group was concerned that this slogan could offended some of the senior people in the room and the organization by inferring that today’s leadership did not follow through on rhetoric.

2. GROUP TWO - This group wrote down some initial thoughts and came up with about 18 slogans that could be used. They discussed leveraging leadership and technology to maximize sailor quality of service and war fighting capability today and into the new millennium. Some potential end states were: Increased premium on education, stabilized optempo/increased family opportunities, improve quality of service, a culture willing to accept change, opportunities for improving efficiencies, Empower every Sailor.

3. GROUP THREE - Topic one: Developing enlightened and knowledgeable leadership for the 21st Century: aligning mission, people and culture. Topic two: The navy of the 21st Century – a place to “thrive.”

The committee discussed the small groups’ desire to get everyone in the Navy involved. The large group again grappled with the issues of implementation, choice of topic, outcomes, message impact upon DON wide concerns and meeting the Cano’s presumed future agenda. The group decided to take a break, go back into their small groups and then came together to present one topic. The groups returned with one topic each to present to the committee all containing some variation of the Cano’s “Enlightened Leadership” concept from the interview:

FIRST TOPIC: Naval leadership in the new millennium: Forging an Empowered Culture

SECOND TOPIC: Create a Navy that develops enlightened leaders that recognize the best in people and empowers them to achieve it.

THIRD TOPIC: A summit for Enlightened Leadership: Creating bold, empowered, knowledge warriors at every level embedding trust, learning, innovation and success

Some discussion commenced on feelings and reactions to the output of the small groups. Comments included:

*-We need to focus on Enlightened Leadership*

*-We need a strategy for getting there.*

*-Keep Naval Leadership as part of the appreciative process.*

*-Enlightened is a bad word. It turns people off.*

*-I’d like to do something now to change the future. Change culture is an end state. We need to impact the style of leaders.*



- *We don't want to invite trouble by using the words "change culture"*
- *Enlightened leaders will change culture.*
- *Fixing the leadership will change the culture*
- *I like the use of the word "warrior".*

Dr. Cooperrider then asked for volunteers to re-work a topic for the summit, to include the concerns listed here. The committee chose Topic # 1 as the springboard to perform the re-work. At the end of day two Admirals who had been part of the Committee left due to other commitments. Before they left they offered final comments and expressed apprehension that summit would commit the CNO to action. Both preferred to advocate pilot projects and testing of any concept resulting from the LGI. Based on their comments most of the group began to discuss the possibility of implementing any results from the summit as pilot projects and study the results before committing senior leadership to any decisions.

### c. DAY 3

Dr. Cooperrider began the third day by discussing the power of the positive question and the art of the question. Questions we ask set the stage for what we look for and find. What we find determines the framework for how we think. It determines the kind of energy we have. What is it that makes questions energizing and mobilizing and elevate and lift up the talents of the group? Einstein's famous question is a perfect example. He asked himself "What would the universe look like if I were riding on the end of a light beam at the speed of light?" The power of questions has shaped human history. The move from nomadic to agrarian culture was predicated on the answer to two questions. "Where can we find food and water?" followed by "How can we bring food and water to us?" He explained that asking neutral questions would give deficit answer because we are deficit based. The role of an outsider is to find out where things are broken. That leads to negative answers. Question sets the stage and we have to go out of our way to ask the constructive question.

Everything leaders of change do is filtered through analysis. The Constructionist principle states we create the world we want. The Simultaneity principle states that inquiry and change happen at the same time. Change actually begins the moment we ask

the question and at that time the seeds of change are planted. Finally the Positive principle tells us the more positive the question, the more sustainable and powerful the process.

In an interview with former President Carter Dr. Cooperrider discussed the ups and downs in his career since the presidency. He asked President Carter to share a high point in his life? His response was that “After we finished building a habitat house. Hammer in hand. People are in a circle. We crossed all race, class and cultural boundaries and we see the impact of our work.” Those kinds of conversations are not possible without asking the right questions. A long discussion chaotic discussion ensued in the group. The full discussion is included here to show the myriad topics discussed.

*- These are all good news stories. What examples of technology are there? What websites are used? One of the products are the stories? How do we get it in the hands of those who matter? Maybe we should web cast this across the organization.*

*-A bad question is: What are characteristics of good team? We need the story not lists. (Dr. cooperrider)-*

*- We should get the ten best interviews taped. Have we decided we are going to do it here? Is there benefit to doing it somewhere other than Monterey like VA Beach conf center with clear ground rules?*

*- An off-site in the area works as well.*

*- We described the 2010 vision on Wed. Tell us a story from June 1 2001 how it transforms itself. How did we get from here to there? How does it look?*

*- I think about how to picture organizations and I see it as a termite hill. It's chaotic; there is no plan; every termite just throws his or her pebbles on the pile. Small changes that build and build and build till you get a big termite hill. The Navy can't get from here to there; it has to evolve like the termite hill. We don't need a plan or vision. It has to happen one pebble at a time*

*- Respectfully, that's how we got here. It doesn't work that way. We have responded incrementally to all volunteer force grudgingly. The only way we get there is raise awareness about how organizations truly function and build knowledge. We don't know how to make organizations work well. If we were better at imparting knowledge about how organizations work we would be able to get there.*

*- Involving everyone is where it starts. Technology isn't there yet but we can start. People would love to see it.*

*- We can make dramatic changes if we join together. More people don't always make it work. Risk is involved. Risk management. Walk the talk. 2010 story should start off with coming from the top down.*

- *I like to think of it as a spider plant. Three-day stand-down for strategic planning for deployment. AI as just something we do.*
- *We should do it somewhere close so that it's not so distant and removed. Big pieces of the battle group and instant change. Most of us have an idea what a great navy looks like. Getting the alignment and infusing the enthusiasm. Provide momentum setting us for success.*
- *What is the sequence? Everything about the summit is good. What are the follow on actions one month later?*
- *Different levels take it forward.*
- *I still haven't heard what the problem we are trying to solve is? Are attendees there to provide input or are they transmitters to leadership? We have 376,000 people. I understand the senior leadership position, but what are we going to change in the Navy? The value of the participants are not the others, it's the changes made. How many are you going to affect. The product is a tool for affecting change.*
- *Those who attend are those who can make change.*
- *No cat is too flat that we cannot back over it again.*
- *One takeaway is those who go back. What is next? Maybe to meet again to frame the inputs and sit down with the CNO and discuss it with him. The second is get together and I recommend AI as mechanism for going after Cano's priorities.*
- *We don't know what the way ahead is but we know it will be positive.*
- *Other than enthusiasm for rapid collaborative change. There are little takeaways or lists of things we can do to change the navy.*
- *We can't leave the process as it is.*
- *Maybe you need a post event vision. Statement or white paper.*
- *Strategic plan. If we want it to continue, short term successes to build momentum to do right now. It has to migrate to the fleet. We have to be more appreciative.*
- *We need tangible action items. We need to have AI champions to continue momentum on the action items and the process.*
- *This is about policy initiatives and headquarters alignment. Equally important is a core of enthusiasm on three pilot projects. We should shoot it out to ships. Set up place to take initiatives and test them out. A declaration of what "enlightened leadership" is, is not as important as doing it on ships.*
- *Technology is important.*
- *Instead of smart ships we should give it to the most humble LPD, FFG, or Sub or squadron. If we believe in it we believe it will work anywhere and it doesn't get confused with technology. Somewhere where people make the difference. That's our tool.*
- *A couple of petty officers from a ship will not be able to carry it forward. We should use existing structures to move this forward as a tool for COs. If we have them take it back*

*their command will not welcome it. We must have buy in. Who are we inviting? Disgruntled sailors may give the best input of things that bug them.*

*- We must have members of the chain with support. (POs, Chiefs, COs together and go back together)*

*-You need to muster the disgruntled sailors. Young kids will make it happen and create a fad. Need LPOS and seniors. CMC and CO.*

*- (Addressing the Seaman) How do they use the information to make things better? Who would you want at the summit?*

*- He can't make an affect on the command. He can't transform his command.*

*- These tools will not go back to the command because they cant make a difference.*

*- We may want everyone introduced to AI at courses for Os and Es. Key point of the summit would be to make changes and fertilize it across the navy. What has slowed their empowerment process? It is important to pilot these things at the local level.*

*-TQM doesn't replicate to us.*

*-This is an alternative method to TQM. In lieu of higherarchical. But we need to make sure the CNO has a buy in and not lock ourselves into any decisions.*

*- We're not looking at the same thing. Some think in terms of immediate impact some in terms of disease. We want everyone thinking this way. Nothing can be legislated from this conference. A pilot (program) should be the start then measure it later for effectiveness.*

*- We're talking about what outcome. If we are successful in title and participants then anything we do will be positive.*

*- Its like the Mod squad. We took all ships in the squadron and put LCDRS in charge. Most people in that squadron had an impact. He would relate to it. I think it puts the CNO in a dangerous position to have to make a policy decision based on this process.*

*- Policy decisions can enhance decisions*

*- This isn't a mandate for the CNO but they are suggestions.*

*- We don't want to pin him down for details. We want to make suggestions.*

*- How did roadway use this process successfully? What actions did they take? How did they use what came out of the group? Did they make pilot programs and incremental change or did they actually make policy changes immediately?*

*Dr. Cooperrider answered - The things that were successful were policy level action that came out of the group recommendations. The trigger was writing out sets of principles of what a fully engaged organization will look like and then making changes to the organization to that effect.*

*-Picking a certain ship doesn't cut it. This process should go after bigger navy issues.*

*- The revolutionary idea is to give people flexibility to run a ship the way you want it run without constraints.*

- *That's what we are trying to do with the chiefs.*
- *Send off a letter to those who wrote the instruction if you have a better way. Where does this info go?*
- *Sharing best practices is an important component.*

Dr. Cooperrider curtailed the discussion at this juncture. He solicited the group for their feelings at this point in the meeting. The discussion it is included here as text to provide an example of the type of group discussion common at the committee meeting. The discussion covers many interrelated areas and expresses the level of energy in the group with regard to the summit. Overall the group seemed willing to accept the summit based on appreciative inquiry on a limited basis as long as senior leadership would not be forced to make any decisions based on its output. Additionally the group seemed much more comfortable with an introduction of the topic of appreciative inquiry at the summit rather than expecting any concrete action with regard to policy.

- *This has lots of potential : We'll see a range of common sense things from interaction. Immediate and long term goals launched. Secondary is AI endorsement. Broad group with pilot imbedded. This can be a tool for me.*
- *I am hopeful. I see a lot of alignment. I think this will be a success. Action is good. Leadership summit. It's not about AI but we get to see this each other in another light and see a shared vision.*
- *I lot of people already do it. We have to be careful of the latest fad. We shouldn't do it under the AI label. It had potential to change leadership culture. Prefer to see it done on a smaller scale and determine the outcome then see where it can go. This is the time to do it.*
- *The large group will flesh out bottlenecks and produce sea stories. Summit should match up with areas the CNO wants. We have to temper the passion for AI with the reality of deckplate. We have to have some definite changes and successes to build upon.*
- *We cant predict results of action items. It s like everyone is a termite placing a pebble on a hill. It changes one pebble at a time.*
- *potential for Navy phenomenon is large. The kind if thinking CNO is trying to encourage is CO leaves ship to XO to take to sea. Because of our culture we may be too timid. We may not realize the how much the process can do. Unless we push to this level the CNO may be disappointed.*
- *The Marine Corps does all this all the time everyday COs around the world leave their units to the XO.*
- *Many COs don't take the responsibility to train their Xos.*
- *The Royal Navy does it.*

- *We need to put air in the tires. Visualize the navy in 2010. Encouraging that leaders today are thinking about a better future. When is not a good time to improve.*
- *I gained a lot from talking and participating. We need to go back and make disciples. We maybe need to cut dead weight and get open-minded. There are right way and wrong ways of doing things*
- *The topic is leadership. The underlying theme is making organization stronger. Good leadership makes organizations good. Summit may not be about AI or leadership it should be about making Navy better. People will walk toward the light. We will be successful in that light. It will be hard to measure. We may be successful when (name deleted) is the MCPON. This is not new other than large group intervention. But let's do it anyway. We don't want to wrap this up in an AI fad and forced. It needs to be about making the organization better. We need to not build expectations too high and not reach too high.*
- *LGI is new to me. We tried to capture good ideas. I Don't know how it's going to work. Anxious. Looking for something bigger than just leadership. I want a navy where people clamor to join. This topic scares me and its tough to get quick victories. Success breeds success. Craft some victories if possible. If we outsize expectations things will be bad.*
- *I knew good things would come out of this. Power of asking the right questions and stories. Get the first note to be the right note with the right players the rest will take care of itself. Powerful because people were asked and feel empowered. If we come up with some things that can be implemented. Need a positive frame of reference. Downsizing and lack of resources has made us negative. Implementation will be critical. How to make sure the ball keeps rolling.*
- *We got off track. Gave a primer on AI and that's what we became about instead of a leadership summit that will take the navy forward. AI is positive framework for a working group. The approach we should take to use it in the right way is to not tell people about it. It should be a forum on leadership. The right subject. We have never taken a strategic look at leadership. We need to. CNO judges people on commitment to mission and how they grow and develop sailors.*
- *I am excited about the process. But I have been frustrated. The fact that we're planning it and moving ahead is a touchdown. We have a great navy. It's time to move and do something like this. We're in the fight. Let's use AI. Time to breathe life into this process. We have to nail down the topic. Like what he heard about the report. It can excite people. It can be contagious but the topic has to be good.*
- *Positive change is always right. Don't focus on time. It's always time for a change.*
- *We shouldn't embrace AI as the tool to fix deficiencies. Summit is positive process to have good discussion. I like change. If we decide to do something, now is an appropriate time. I get frustrated with existing processes and sometimes its hard to change. We can keep tradition and culture and still move to a point where we work smarter not harder.*
- *I am happy about open communication and dialogue. Outcome is powerful. Age difference is great. Stakeholders need to be everyone. Size limits but there are other ways to get the word out as end products.*

*- I have a different frame of reference. Focus on leadership is important. Every Marine during transformation learns leadership. Traits of leadership ingrained every day. Focus is not ship or squadron. It is the individual marine. Every Marine rifleman. To know marines and take care of them may mean that CO leaves and they are challenged. We have made ourselves better by seeking self improvement. I taught leadership to OCS candidates. Leadership has many different facets and is always there. The name (positive, enlightened) doesn't matter. CNOs emphasis on leadership is positive.*

*- I felt AI was what the Navy needed during 30 something group. Satisfying. Process is empowering. This started by Adm Clark being bold enough to listen. Our responsibility is to be courageous*

*- AI is good but we should match realities with expectations and don't get so hyped. Get the right people there but not with huge expectations. Share our concerns. Leadership is good topic and the time is right. If not us, who? If not now, when? There is now an executive review of training. The CNO and VCNO have 10 task groups to move ahead. MCPON conf. 30 something groups - two of them. RBPs. There is a changing dialogue and conditions are ripe for LGI. EMPOWERMENT. Make people feel like they make a change at all levels. Eliminate excuse riddled self talk.*

*One admiral in the group offered a sea story to conclude the discussion on a high note.*

*"I was on the Coral Sea: XO coming into the med. We had a turnover in Augusta Bay Sicily. Pasta dinner without wine. Then back to the ship. We wanted to get underway at midnight. The SupO and I got a barko lounge and mounted it on the bridge for the CO. As we were getting underway I would go over to darkened part of bridge and giving underway reports to CO in the chair. I raised the hook and got underway and stood next to the Captain. After an hour or so the Captain asked if me "XO are we ready to get underway". I told him we had already been underway for about an hour or so and He said. "Oh, good job" That's was it.*

Committee members self-selected into new groups to work out details of four major areas to determining a title for the summit and follow on action prior to the summit. Much discussion ensued to find language upon which all could agree. The groups were the title/task group, the stakeholder group, the interview group, and the communication group. Each had either four or five members. Results of each group are as follows:

Title/Task group (5 members)

"Bold and enlightened Naval Leaders at every level - Forging and empowered culture of excellence"

Stakeholder group (4 members)

Created list which included decision-makers, fleet, staff, support and delegations from ships. Limited itself to the ballroom at NPS capacity 260.

AI interviews group (5 members)

- Tell me a time when you felt empowered.
- What does empowerment mean to you? What does bold and enlightened mean?
- What do we do best to encourage empowerment? How can we do it more?
- Tell me a time when you were challenged to grow and develop as a leader.
- How is your command helping grow and develop tomorrow's leaders
- If the navy were to develop excellent leaders at all levels, what would it look like.
- What aspects of your job make you want to come to work each day?
- What could the navy do more of to create a heightened sense of fulfillment at every level?

#### Communication group – PRE Summit (4 members)

- Invitation to the CNO
- Personal 4 message from CNO to flag officers and commanders identifying stakeholders, provide background, and request feedback on participants.
- Upbeat letter from CNO to participants with a copy to type commanders.
- Digital meeting place for steering committee.
- Web links to leadership summit

#### **Steering Committee Members:**

Vice Adm. Dennis McGinn, Deputy Chief of Naval Operations (N7)  
 Vice Adm. Norbert Ryan, Chief of Naval Personnel  
 Vice Adm. Patricia Tracey, Deputy Assistant Secretary of Defense  
 Vice Adm. Alfred Harms, Chief of Naval Education and Training  
 RADM David Ellison, Superintendent, Naval Postgraduate School  
 RDML (sel) Robert Moeller, CPF, N3N5N7P  
 Mr. Greg Melcher, N81B  
 CAPT Orrin Wayne Young, Commanding Officer, SWOS  
 \*CAPT Michael Davis, Reactor's Officer, USS GEORGE WASHINGTON (CVN 73)  
 \*CDR Robert Hennegan, Maintenance and Acquisitions, DCNO N7  
 +Maj Brian Buckles, USMC Systems Test Manager DRPMAAA  
 +LCDR Rob Newson, USN, XO SBU-12  
 +LT Robert Thompson, Surface Warfare Officer School, (Department Head Class 163)  
 +LT Barbara Fletcher, BUMED (Med-51)  
 MCPON James Herdt  
 Midshipman 1st Class Amy Jones, Brigade Commander USNA  
 MM1 (EOD/PJ) James Meagher, VSW, (SURFPAC Senior SOY)  
 FT2 (SS) Robert Gill, USS HOUSTON (SSN 713)  
 PNSN (AW) Joseph Evans, Fighter Squadron 103  
 ++LT Paul B. Tripp, recorder of events for thesis work on Appreciative Inquiry



- ++Capt. Mark W. Zipsie, recorder of events for thesis work on Appreciative Inquiry
  - \*most recent recipient of the Vice Adm. Stockdale Leadership Award
- +graduate of the first “30 Something” course
- ++Graduate of April 2001 "30 Something"

## Leadership Summit Executive Steering Committee Summary

To: Chief of Naval Operations

Subj: LEADERSHIP SUMMIT STEERING COMMITTEE OUTPUT

<ol style="list-style-type: none"><li>1. Recommend a 3 or 4 day summit (4 days is ideal: one day for each component of the Appreciative Inquiry “4-D” cycle)</li><li>2. Strongly request CNO attendance at the summit (determines summit dates)</li><li>3. Proposed to have the summit in November (time to plan and new FY)</li><li>4. Recommend form a 30 person interview team to collect exemplary leadership stories in July/Aug (themes become summit topics)</li><li>5. Recommend stakeholder map in enclosure (1)</li><li>6. Estimated size is 220 (includes Steering Committee)</li><li>7. Propose to hold the summit at NPS (learning environment, distance from “in-box” and home, will arrange C9 flights from Norfolk and San Diego)</li><li>8. Basic Communication Plan:<ul style="list-style-type: none"><li>○ P-4’s from CNO to Flag Officers, Commanding Officers, Officers in Charge, ect. – this will contain background information for the summit and request nomination of selected stakeholders – RDML(sel) Moeller to draft 17 June; recommend send end of June</li><li>○ LCDR Nystrom to brief key stakeholder leadership on summit June/July</li><li>○ Letter from CNO to participants via commands in Aug/Sept – LCDR Nystrom to draft</li><li>○ Read aheads mailed out 6 weeks prior to summit in October</li><li>○ Pre &amp; Post summit articles published in Navy periodicals to set expectations prior to and after the summit</li></ul></li><li>9. Total est. resources are \$250K, see enclosure (2): (received \$100K from VCNO, hope to receive research funds from ONR, Steering Committee also looking into other funding options)</li></ol>	
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## 1. Interview Protocol

Interview protocol for the Leadership Summit Interview Team:

Name \_\_\_\_\_ Date \_\_\_\_\_

Designator / community \_\_\_\_\_ Phone \_\_\_\_\_ email \_\_\_\_\_

Rank/ Rate \_\_\_\_\_

Years in Navy \_\_\_\_\_

Source of commission (for officers) \_\_\_\_\_

Interviewed by \_\_\_\_\_

Opening:

As you know, these are interesting times for the Defense Department, some might even say turbulent times. And yet the US Navy is one of the largest organizations in the world and has thrived for over 200 years. We have proven our resilience. As we move into the future, we need to be able to identify and capitalize on our strengths and capabilities.

Thank you very much for participating in this process of gathering information for this special study. You have been invited to participate in a study to learn about and understand the best of Navy leadership. We are conducting interviews with Naval personnel from various communities and levels of the organization. These interviews are part of an intensive effort to discover what is happening when we are operating at our best. In particular, our goal is to locate, illuminate, and understand the distinctive values, practices, and skills which are in operation when the Navy is operating at its best.

As part of this process we're looking at the following: what are the core factors that give life to this organization? What can we learn from our experiences, especially if we examine closely those moments when we have been at our best? What are the Navy's most effective practices and core strengths — those things we should try to preserve, even enhance, as we move into the 21st century? Building on this, what kind of Navy do we want for the future? What are some small changes we could make that would have a big impact? Finally, what bold changes could we make that would have an impact? We will be asking you and others questions along these lines. The information you provide in this interview will be used to contribute to the Leadership Summit to be held 3-6 December, at the Naval Postgraduate School.

How the interviews will be used:

We are planning to interview approximately 500 people from throughout the enlisted rates and officer ranks between August and October 2001. The stories and collected comments that you and others share will be compiled in a report and will be used to shape the design of the Leadership Summit. The Leadership Summit is an innovative conference in which representatives from all levels and branches of the Navy will meet to discuss the future of the Navy. (I can leave you with a brief description of the Summit at the end of this interview.

Our website, [http://www.cee.nps.navy.mil/NewSite/leadership\\_summit.htm](http://www.cee.nps.navy.mil/NewSite/leadership_summit.htm) also has additional information. We anticipate that this conference will generate many proposals and initiatives that will have a lasting impact on our organization.

All comments from this and other interviews will be anonymous. Names will not be attached to any of the stories, suggestions, examples, or comments made.

The Nature of this Interview:

I will be asking you a number of questions about your experiences in the past. This is a unique kind of interview and I'd like to explain how we want to frame it. We know that we all have ups and downs, peaks and valleys in our career. The questions I will ask you will be focusing on your peak experiences, those moments that were for you and others the most positive. It will help if you can recall and focus on concrete stories from your past, concrete incidents based on the topics I will be asking you about. It might take a few moments for you to recall a story. That's fine. Do not feel rushed or pressured to come up with a grand story. There are no "right" answers. Sometimes we achieve great insights from even the simplest events.

I will be taking notes during this interview and also may be tape recording it.

(Note to interviewer: please ask questions I-III, IX, and X of everyone. Choose at least two of the subtopics in questions IV-VIII in each interview. As you plan your group of interviews, please rotate the subtopics to make sure that you cover each of them in at least two interviews).

## **I. Beginning: Initial attraction**

To begin with, we would like to learn about your beginnings with the Navy, the first time you were drawn to this organization.

1. What first attracted you to the Navy? Why did you join?
2. As you began your Naval career, what were your most positive impressions?

## **II. Making a difference:**

As you look back over your entire career in the Navy, think of a moment when you felt particularly successful, a time you had an influence on the outcome of something

that was important, a time when you were effective in making a difference that mattered. It could have been a creative idea you imagined or an action you initiated. Perhaps it was something that made a difference to one individual. Or perhaps it was something that impacted your unit's mission. What's important is that this is a moment in which you felt most alive, most involved, effective, impactful, in which you felt you made a difference. Tell the story of what happened.

- What was going on?
- What factors made this a significant experience?
- What was it about you, your personal qualities that contributed to this?
- What others were involved and how were they significant?
- What was it about the condition, system or organization that helped make this such an important and successful experience?

Notes:

### **III. Values:**

1. Yourself: We'd like to know about things you value deeply; without being humble, what do you value most about yourself — as a human being, as an enlisted / officer? What would others (boss, peers, direct reports) say are your best values as a leader?

2. Work: When you are feeling best about your work, what do you value most about it?

3. The Navy: What is it about the Navy that you value? What is the single most important thing that the Navy has contributed to your life?

### **IV. Empowering others: supporting learning, growth, and development:**

1. Good leadership empowers people by supporting their growth and development. This often means seeing someone's potential and capacity even more clearly than they see themselves. Can you think of a time when someone provided an environment that allowed you or others to learn, to experiment, to take risks?

What was going on?

What was it about the leader that you value most in this story? Describe his / her qualities.

Hint: you might search for a time when the leader gave someone else the authority to accomplish a task even though they had not previously demonstrated competence, but then the person delighted the leader by their exceptional performance?

2. Can you think of a time when you supported someone else's growth and development, when you saw their potential and supported them to go beyond their previous limits?

What was going on? Tell the story: (Probes: what lead to this? How did you persist in keeping a positive image of potential? What were the outcomes?)

## **V. Cooperation: Bridging across boundaries and making connections**

To make any significant innovation, one must be able to connect people across departments, levels, and specialties. We would like to learn what makes that cross-boundary cooperation work. Think of a project or a time when you've been part of cross boundary cooperation that resulted in some outstanding achievement. Tell a story and share the insights of what it takes to be effective doing this.

1. Can you think of a time when you saw someone achieve a kind of transformational cooperation between disparate groups -- a time when diverse groups were brought together in a way that achieved coordination?

(Hint: we are trying to understand how someone achieved coordination and cooperation in spite of bureaucratic boundaries).

2. Can you tell a story about a time you bridged boundaries to bring multiple parties together? Tell a story of what happened.

## **VI. Great teams:**

It is important to build a spirit of trust and teamwork. We want to understand what it means to be part of a great team. In your experience in the Navy, describe the best team effort you've ever been part of.

What was it about that group that made it an exciting community to be a part of? How did that group function to support each other?

## **VII. Innovation and Bold risk taking:**

Can you think of someone in the Navy who took a bold and innovative risk?

-Tell the story of what happened?

-What was the outcome?

-What were the factors that allowed it to happen?

## **VIII. Appreciating, valuing, and enlightened leadership:**

One of the most important job of a leader is to appreciate: to notice moments when someone is acting at their best, to recognize and notice potential, to remind members of who they are and what they are capable of.

Recall a leader you have known who did this well. What was it about him / her that you value most? What impact did it have on others?

Think of a time when one of your colleagues or superiors recognized your capabilities and it made a difference to you?

### **IX. Examples of outstanding leadership:**

Think about other leaders you have admired in the Navy. Can you think of a story or an example that stands out for you, something that exemplifies the kind of leadership approaches we should aim for more often?

Envisioning the future:

Tonight when you go to sleep, you have a very deep, deep sleep, and wake up 4 years later. It is 2005. When you arrive at work, you begin to notice that the Navy is as you always imagined it could be — the way you believe it ought to be. In terms of Naval leadership, describe what you see happening. How is it different? Describe what is going on in 2005 that exemplifies the ideal Navy you have always imagined.

If you could change or transform the Navy in any way, what three things would you do to heighten the overall health and vitality of the organization?

What single small change could we make that would have the biggest impact in improving the Navy right now?

What bold change could we make that would have a big impact in improving the Navy?

Would you be willing to meet again if we are interested in a follow up interview?

Summary page:

(To be filled out by the interviewer immediately after the interview).

Your name (the interviewer):

Date of Interview:

Interviewee's rank / rate:

Interviewee's community:

Is this interviewee someone we might want to contact for a follow up?

What was the most quotable quote that came from the interview?

What were the two most compelling stories that came out of this interview? Please write a rich, detailed description of each story (in first person).

Please save your stories in “plain text” format (.txt). Submit your summary page electronically to LT Paul Tripp; email: [pbtripp@nps.navy.mil](mailto:pbtripp@nps.navy.mil)

Interview Hotline: LCDR Dave Nystom (831) 656-3631

Notes:



## B. INTERVIEW TEAM TRAINING

Dr. Fry began his presentation of Appreciative Inquiry by breaking down the words Appreciative and Inquiry. Dr. Barrett spoke about what we dwell on expands, so if we look at what is positive and good within an organization, that will perpetuate itself and previously unidentified positive things will be recognized. The five principles of Appreciative Inquiry are:

Constructionist - The labels and words we use are like telescopes. The words we use choose what our telescope focuses on. Conversations perpetuate self-fulfilling prophecies.

Simultaneity - Change begins the moment we ask a question. The minute we start to study and ask questions about human beings, they change. We cannot ask a question without change taking place.

Poetic - There are no limits to what we can study in an organization or system  
Anticipatory – Significant change comes from looking at images of the future. For a human society to move forward and advance, there is always an image of the future

Positive– The more positive the question we ask the longer lasting the change. When a change focuses on a positive question, it tends to have a deeper and longer lasting change in the future.

Narrative– Storytelling is a special way of representing and transferring knowledge. Stories are very compelling and can transmit values and familiarize people with one another

A discussion began halfway through Dr. Barrett's introduction of the five principles. People began asking the purpose of the meeting – Was it simply to collect stories? One participant discussed the value of negative learning and asked if appreciative inquiry addressed the negative. Dr. Barrett put off the answer until the afternoon. One other individual asked if this was not a methodology to bring about change and what if the Navy did not want to change due to the traditional organizational structure that exists within it? Dr. Barrett stated that the summit is sponsored with the full commitment of the CNO and re-assured the group that the top leadership is fully behind this. People then expressed fear that this is going to be a top down mandate such

as the Total Quality Leadership initiative (TQL). (A failed attempt in the early 1990s to synthesize leadership methods with the Total Quality Management (TQM) concept). The discussion continued as participants expressed fear and concern about this process not succeeding if implemented as a top down mandate.

After Dr. Barrett finished introducing the five principles, Dr. Fry addressed the group's concerns by asking them to continue to speak out. He referenced some of what they said through his previous discussion on culture. He said that this is a tool to give people "full voice" into change and is not about one person's decision. He asked the group to think about two basic questions: 1. What has already made this possible? 2. What exists to perpetuate and continue this on into the future? Dr. Fry said that storytelling adds to our understanding of history before we begin to ask about what we want in our future. We use the language of our past to create our future, which are the basis for these two questions.

Dr. Fry then instructed the group to take out paper and answer some questions. These were the same questions asked of the Executive Steering Committee back in May 01, which highlighted a positive story of the past, current values of the present and desires for the future. The participants were given 15 minutes to jot down some answers and then began discussing these answers with one another. Dr. Fry encouraged them to inquire beyond the basics and to not take for granted words like "effective" or "best", but to dig deeper and find the richness in their stories.

After the interviews everyone gathered back into the conference room. Dr. Fry reiterated that this was part of the Discovery phase. He asked people to share what it felt like, what they noticed about the interviews. People stated it was entertaining, interesting to hear another story, noticed the tendency to want to go back to deficit thinking, noticed that two people with two different backgrounds and cultures had the same answers on what they would do to change the Navy. Those items were empower people, change the communication in the chain of command and get more involved in communities. Others stated that they discovered similarities in what it means to think outside of the box, they felt pride and it gave them an example to emulate. The last comment highlighted the fact that in doing this, something near and dear to them, (personal) is being disclosed. They stated it was a scary experience because the values of the other person are not known

when the disclosure is being made. In the end, they said it was very effective and worthwhile.

The discussion continued and people began sharing about how difficult it is to listen to others after they have shared. One person began to introduce the concept of how similar duty stations or responsibilities can cause people to think the same way. Dr. Fry stated that there could well be a dynamic that has to do with when we focus on the positive there is a tendency to want to cooperate and to want to agree so the similar experiences as Naval Officers might not be the main contributing factor.

Dr. Fry asked the audience to share more thoughts. One of the thoughts that was brought forward is how the shared values were enlightening and touching. Another gentleman stated the he found a great deal of value in talking with an officer because it gave him another perspective. He stated that he never knew some of the things about being an officer that he learned. He encouraged the interviews to occur between many different ranks. The last comment that was taken was from a gentleman who stated that it illustrated for him the wealth of knowledge that has gone untapped. This comment served as a segue way to the next portion which illustrated what other companies have done when they discovered these same things. Dr. Fry talked about how morale within civilian companies increased just by telling the stories. These high point stories tie connections between people which are previously unnoticed.

After the lunch break Dr. Fry summarized the morning's events and discussed the 4-D cycle. He highlighted the fact that the Discovery phase is where one takes a new look at the best of the past. He stated that it begins by having one on one conversations and evaluating what aspect gives life to the team, organization etc. The next step is to dream beyond the boundaries of the current system or organization in the Dream phase. These first two phases are interconnected because in order to effectively dream, participants must have a thorough understanding of what was discovered. Questions asked in the discovery phase must be thorough, complete and dig beyond the obvious.

After the dream phase, Dr. Fry introduced the design and destiny phases when people start to show interest around a certain part of the dream. At this point people assign goals that can enable others to move toward the dream. The Destiny phase is not only implementation but also a stage where the process must be sustained.

Dr. Fry emphasized is this is not a cut and dry process other than the first stage of stories and interaction. The other stages are fluid and can be experienced at different times and with different intensity.

Assigned “pairs” then came together in groups of six or eight to introducing their partner and headline that stood out in their story to other members of the group. They were asked to talk with one another and identify two or three core factors that contributed to the success of these stories. They were tasked to search for underlying positive themes that impacted on the situation and write down themes to share. Results of the groups are as follows:

Group One – 1. Clearly defined end state, what to do not how to do it. 2. Ownership; Autonomous ability to choose how to accomplish mission 3. Shared trust across the organization of others’ opinions and confidence levels facilitated by leaders. 4. Mechanism for communication or an avenue to communicate.

Group Two – 1. Trust up and down the chain of command. 2. Recognition and support of needs. 3. Commitment of ownership. 4. Bring back the craftsmanship in the process to increase ownership.

Group Three – 1. Mentoring at every level: Trust in leadership will cascade down the chain of command. 2. Empowerment and giving someone a chance to succeed. 3. Mutual respect and joint leadership. 4. Foster sense of community. 5. Cannot have one of the above things without recognizing the need for the others.

Group Four – Five key words: 1. Pride 2. Conviction 3. Flexibility 4. Commitment 5. Respect.

Group Five - This group summarized their discussions and concluded that if the sailor is taken care of, the organization will take care of itself

Group Six - 1. Opportunity. 2. Trust and respect. 3. Independence, autonomy, recognition of talent. 4. Shared trust to recognize better ways of doing business

Group Seven – 1. Leadership. 2. Recognize the talent of someone junior. 2. Leaders open dialogue and get to know people on a more intimate level. 3. Leader take a real interest in people outside of the work place

Upon return, a discussion ensued about how leaders in the Navy really do not normally about what goes on outside of the workplace unless there is a problem. Others stated when that when leaders are involved outside the workplace (i.e. knowing when your Leading Petty Officer’s wife is giving birth), the working relationship is

strengthened. Dr. Fry summarized this discussion by illustrating for the group how they had actually just moved to the next stage of the 4-D process by trying to look at “what could be”. He stated that this is the main focus of the Appreciative Inquiry Summit and again illustrated the importance of this Discovery phase because it lays the foundation for the Dream and Destiny phases. Dr. Fry explained the group had intuitively moved to the next step during their discussion after they shared common positive factors.

Dr. Barrett continued the training by presenting to the group the link between positive image and positive action. He introduced the same concepts presented to the ESC and CMC conferences; Placebo effect, Pygmalion effect, how affect influences thought processes and health, and the impact of imbalanced inner dialogue. The last concept presented was that eliminating the negative does not re-affirm the positive.

The group expressed concern during discussion that it appears problems are being ignored in this approach. Dr. Fry rebutted that this is not the case. Problems are acknowledged, but the approach is not “problem oriented”. It is focused on the desired positive outcome or end state. Dr. Fry stated that individuals should be focused on their self-talk, which will ultimately affect the outcome. The groups were then instructed to reform and discuss how these items relate to their everyday lives.

Dr. Barrett then showed excerpts from the Cano’s interview. Following the CNO video Professor Barrett asked for reactions. The group began the discussion with concern that the CNO did not define what he meant by the term “enlightened leadership” nor did he define any vision for the Navy throughout the interview. Dr. Barrett then asked “What was valuable about seeing the interview?” The group generally concluded that the CNO is grounded, sincere, and committed to investment in leadership for both Chief Petty Officers and Junior Officers.

Dr. Barrett then commented that defining enlightened leadership was a topic of the steering committee. In his view the leadership summit is designed to find out what enlightened leadership is and determine what topics to study. Finally, to answer the question “What are the vital forces that give life to the Navy?” He discussed steering committee themes and handed out the draft interview protocol for review. On day two the participants used the protocol to conduct practice interviews with 25 NPS students.

Day two was centered on training, practice, and discussion of the draft Interview Protocol. Final version is contained in Appendix A. Dr. Barrett began the day with reactions from the CNO video and the day before and asked the group to describe what was interesting. Comments and discussion focused on the purpose of the summit and what results if anything will follow. The group felt that the ideas being explored were nothing new to anyone who had ever read about leadership in class or individually. This particular discussion occurred over and over in both the steering committee as well as the interview-training workshop. Although the form or timing was different, the focus was what actions would be taken upon conclusion of the summit. Text is included as a good representation of common discussion in both groups observed.

*-We are not identifying the processes or behaviors which are failing. We just talk about themes. Until we put our fingers on the actual behaviors we won't solve anything. I want to see behaviors which led to the themes on the wall. The goal is to translate those words to the culture. How to we get it so people live it and breathe it? What is going to happen.*

*-We're going down the road of finding a secret recipe for caring, These themes mean different things to different people. In different forums we talk about themes but we don't talk about how to apply them.*

*-Values drive behavior of individuals and groups. This technique makes it easy to talk about values. Most people don't like to talk about the richness of values we collect.*

*-Its like we're doing market research for the next retention thrust. What is the bottom line motivation to bring people together for a group hug and talk about how good we are? What is the purpose and benefit out in the fleet?*

*-The navy has always just looked at what is wrong with the organization. I can come up with every single bad leadership and good leadership trait but I cant tell you exactly why they were good leaders.*

Dr. Barrett commented that he could not guarantee any output from this and that he had asked the CNO the same questions. The CNO had replied "this is not the end all and be all. I don't want to raise expectations that this will change the navy". Dr. Barrett explained that the Summit will not produce any specific benefit. In his view the purpose of the summit is to build common ground, to answer the question "What do we need to do to make bold and enlightened leaders?", and to provide stories, language and bold details to think about the positive. At this point LCDR Nystrom interjected and discussed reactions from his command. He stated that the common reaction is that this

process “smells like TQL” but that the difference between the two is the approach. In his view the failed TQL process focused on changing the way individuals act and implying that individuals were the problem whereas AI is based on emergent change not directive change. LCDR Nystrom stated that he did not know what would come from the summit but that the purpose is to develop a consensus about where leadership needs to go.

Dr. Fry then joined in the discussion but disagreed. He commented that he had never been at a summit where concrete change initiatives did not result. He emphasized that the summit must not be a meeting with nice discussion. The purpose of the summit in his view is to identify what a good leader is.

The group continued to discuss concern regarding the output of the summit. That a “Leadership Summit” with admirals may lead to an “Instructions on how to be a good leader” list or simply a list of what good leaders do. Concern was that this would be typical of the Navy and irrelevant to the life of an E-3. Dr. Fry commented that this process will probably not have a long term affect likening the summit to adding a drop in a bucket because of the topic choice. He did mention that the summit did seek to add a drop by getting 280 key people together. Although anything coming out of the summit must be tested the interview team had an opportunity to be a part of a big drop. Dr. Fry continued that the desired outcome of the summit is a publication of all the good stories which are collected by the interview team which would lead the participants in the summit to feel good enough to integrate AI into the leadership training continuum. The discussion then led to a question regarding measures of effectiveness identified by the steering committee. Dr. Fry responded that groups he had worked with all had mid range, long range targets and objectives.

The group was shown a video on the interview process at Hunter Douglas Window Treatment Company. The video showed people who conducted and were interviewed to show things which helped the interview process. The group then broke down into pairs to talk through the interview process and decide specifics about the practice interviews.

The group reformed to conduct practice interviews for one hour on students from Prof Barrett’s “Managing change” class. This module was designed to test out style and

use intentionally positive questions to draw out positive experiences. Dr. Barrett asked the group to consider what are the core factors which give life to the organization and to think about this as a process to capture stories. Follow up questions are very important to get a story out.

Students arrived and were briefed on the process. Groups sat as trios to discuss feedback on the interview process and discussed themes of the stories. Upon completion of the practice interviews groups at each table discussed the process and created a short list of “interview tips”: These are:

1. Connecting during the introduction personally
2. Listen intently to identify follow up possibilities
3. Paraphrase and adapt introduction. Intro did not work and was impersonal
4. POD note prior to interview to provide background
5. Create Comfortable informal environment
6. Steer towards the positive
7. Explain basics of the process before the interview
8. Positive questions help people drop cynicism
9. Take time for responses
10. Stress that there is no right answer
11. Some questions provide answers to others
12. Use personal examples to keep things moving
13. Use read ahead package or the introduction up front
14. Bulletize notes and come back to key points
15. Be flexible and bounce around questions as required
16. Tape recorder was critical to capture verbatim responses
17. Promote rambling and keep interviewee talking
18. Believe in project and project positive karma
19. Develop rapport up front. Get to know person

Group discussion followed the feedback session and much focus was on time limits. The group felt almost unanimously that one hour was not enough time to conduct an interview. They felt some of the questions and sub questions were redundant and



unnecessary. Additionally the group worried that the answers from the first question would be passed on to recruiters. Dr. Barrett was unwilling to reduce the number of questions in the protocol but eventually decided that questions 1,2,3,9, and 10 should be completed for each interview at a minimum.

Group discussion then continued that any conclusions from the summit may not be worth anything since the topic of leadership is so vague. Dr. Fry responded that five hundred stories that all say the same thing cannot be ignored. The discussion continued that this conference may produce list of leadership traits with no worth.

Dr. Barrett then asked members present from the steering committee about great things that have been done. LCDR Nystrom then presented a powerpoint presentation that included a steering committee outputs summary and a report to the CNO with proposed participants. LCDR Nystrom stated that the size of the summit was not restricted and that he had presented the participants proposal list to the CNO using a “US Congress” analogy. He discussed that some stakeholders were equivalent to “Senators” (elder decisionmakers) and some stakeholders were “Representatives” (members of operational units).

Following the update of the summit the group watched a video of Roadway Express AI LGI to generate positive image prior to conclusion of the meeting. The flow of this successful LGI was (1) What were the things we preserve from the past? (2) What are our change targets for the future? (3) Put priorities on the issue most interesting place on opportunity map. (4) Identify clusters of interest and show on large sheets (6) Self select into groups to work on action items. (7) Develop aspiration statement. (8) Develop action targets and plans to get there. (9) Decide who is going to do what first and commit to action on the spot publicly. (10) clarification of next steps and open mikes for personal commitment.

Dr. Fry explained there are two ways to be successful in this regard. The first is to assume that all ideas that come out of the summit are all possible and commit to action since key decision makers are present from the top down. This is how Roadway proceeded from the LGI. The second is to have decision maker up front to either approve / reject proposals on the spot, or set a definite timeframe to make a decision. This was

the last thing discussed at the workshop. Upon completion of presentation of material and training the group expressed faith that nothing bad could come out of the AI LGL.

## 1. Participant Consent Form

Introduction. You are invited to participate in an interview designed to collect positive stories of outstanding leadership. Thesis Students LT Paul Tripp, USN and Capt Mark Zipsie, USMC will analyze your stories to find common themes and will use your data as part of thesis research. Additionally, the best stories gathered from you and other participants may be used to create a booklet of positive leadership stories to be used at the Leadership Summit. We ask you to read and sign this form indicating that you agree to be in the study. Please ask any questions you may have before signing.

1. Background Information. This research is sponsored by the Naval Postgraduate School Center for Executive Education and Professor Frank Barrett.
2. Procedures. If you agree to participate in this study, the interviewer will explain the tasks in detail. There will be one interview session lasting approximately one hour. If necessary the interviewer may schedule additional time to complete the process.
3. Risks and Benefits. This research involves no risks. The benefits to the participants is an opportunity to share their best story of positive leadership with the entire US Navy.
4. Compensation. No tangible reward will be given.
5. Confidentiality. Your interview information will be known only to the person who conducted your interview. No information will be publicly accessible which could identify you as a participant unless you volunteer to be video taped relating your best story for viewing by participants in the summit.
6. Voluntary Nature of the Study. If you agree to participate, you are free to withdraw from the study at any time without prejudice. You will be provided a copy of this form for your records.
7. Points of Contact. If you have any further questions or comments after the completion of the study, you may contact the research supervisor, Dr. Frank Barrett, (831)656-2328.
8. Statement of Consent. I have read the above information. I have asked all questions and have had my questions answered. I agree to participate in this study.

-----  
Participant's Signature

-----  
Date

-----  
Researcher's Signature

-----  
Date

## MINIMAL RISK CONSENT STATEMENT

NAVAL POSTGRADUATE SCHOOL, MONTEREY, CA 93943

### RISK CONSENT STATEMENT

Participant: VOLUNTARY CONSENT TO BE A RESEARCH PARTICIPANT  
IN: Interviews to gather positive stories of outstanding leadership

1. I have read, understand and been provided "Information for Participants" that provides the details of the below acknowledgments.
2. I understand that this project involves research. An explanation of the purposes of the research, a description of procedures to be used, identification of experimental procedures, and the extended duration of my participation have been provided to me.
3. I understand that this project does not involve risk. I have been informed of any reasonably foreseeable risks or discomforts to me.
4. I have been informed of any benefits to me or to others that may reasonably be expected from the research.
5. I have signed a statement describing the extent to which confidentiality of records identifying me will be maintained.
6. I have been informed of any compensation and/or medical treatments available if injury occurs and is so, what they consist of, or where further information may be obtained.
7. I understand that my participation in this project is voluntary, refusal to participate will involve no penalty or loss of benefits to which I am otherwise entitled. I also understand that I may discontinue participation at any time without penalty or loss of benefits to which I am otherwise entitled.
8. I understand that the individual to contact should I need answers to pertinent questions about the research is Dr. Frank Barrett, (831)656-2328., and about my rights as a research participant. A full and responsive discussion of the elements of this project and my consent has taken place.

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Signature of Principal Investigator	Date
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Signature of Volunteer	Date
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Signature of Witness

Date



### C. FEEDBACK FROM INTERVIEWERS

When the interview team returned to the Naval Postgraduate School on 10 October 2001 (there were six from the original group that came back), they chose fifteen of their favorite stories, which they believed best represented the flavor of what they were trying to capture. The story numbers match that of the master list of stories as used in ATLAS during the qualitative data analysis. The stories and the themes that they identified with each story are listed below:

STORY	THEMES
39	Vision of the future of the Navy, tools for the enlisted sailors
43	Tenacious and compassionate mentoring
124	Taking a chance/risk taking
166	Recognition
233	Mentoring/boundary crossing (horizontal)
8	Doing the right thing
11	Trust, Empowerment
62	Leadership by example, sense of achievement
145	Articulate vision by chain of command– sense of purpose for juniors
178	Taking an entrepreneurial approach/leadership
179	Trust and empowerment

Alternates:

45  
67  
147  
211

The interviewers were then asked a series of questions about the interview process, designed to give feedback to the next group of interviewers who, should assigned, be tasked with collecting data. The following are the questions and their answers:

#### WHAT DID YOU FIND MOST DIFFICULT ABOUT THE PROCESS?

1. Time. It was much more time consuming than I expected it to be. Each interview caused me about 8 hours worth of work.

#### WHAT OTHER GUIDANCE WOULD YOU HAVE LIKED TO HAVE RECEIVED AHEAD OF TIME?

1. I would have liked some direction to know if I was supposed to submit the stories verbatim or not.

2. Trying to go in and start an interview with all of the forms and things to read, I basically threw out a lot of the intro stuff into the trash and just went to the person and did a direct approach: sign here, and let's talk.
3. I would have liked to have been told that I didn't have to follow all of the instructions to a tee -

WHAT TYPE OF CLARIFICATION DO YOU THINK IS NECESSARY IN ORDER TO SUCCESSFULLY COMPLETE THIS INTERVIEW PROCESS AGAIN?

1. Tape recorders are a must have.
2. Tell people not to take notes during the process. Just try to listen and get the overall concept.
3. The notes that were taken during the interview were not used at all during the analysis.
4. I think you have to have a day or half a day where the technique is explained and let people practice giving the interview before they go out. A practice session is a must.
5. The practice session needs to be much more realistic on the whole interview process: i.e. the time it was going to require. I also think doing an interview trying to take notes and then trying to record it and noting the difference. I also think the practice session should include having everyone filling out the forms – that's a lot of work.
6. I think that people have to plan the order of the questions in the order that is comfortable for them. If there are a lot of questions, they need to hit the highlights because the interview is supposed to be just one hour long.
7. I found that it was important to let people talk and if the interview went over one hour I found that I needed to be flexible to that.
8. I think people also need to realize that they will have to put aside quite a few hours to translate the interview from tape to paper.

IF YOU COULD CHANGE THE PROCESS, WHAT WOULD YOU CHANGE?

1. The wording of the questions and number of questions. I think they could have been tightened up.
2. Get rid of the extra paperwork – there was too much flipping of paper and paperwork – it just did not seem that organized.
3. Get rid of the macros that were sent to us in the interview sheets.
4. Do not expect people to conduct 10 interviews in one month's timeframe.



#### **D. APPRECIATIVE INQUIRY SUMMIT**

The following is the agenda used during the Appreciative Inquiry Summit.

Sunday, 2 December 2001 – Arrival

	Registration for everyone (and express check-in for people staying at the Hyatt) will be conducted on the lower level of the Regency Conference Center building at the Hyatt Regency Hotel.
1500	
thru	<ul style="list-style-type: none"><li>• MILAIR passengers will be bussed to their respective hotels.</li><li>• Shuttles will run continuously between the BOQ, Navy Lodge and Hyatt so that everyone may register, 1500-1900.</li></ul>
1900	<ul style="list-style-type: none"><li>• Conference fee: \$60 (cash or check) (Fee may be paid online, prior to the event, with a credit card.)</li><li>• Closing dinner: \$20 (cash or check)</li></ul>

Monday, 3 December 2001 – Discovery

0600	Continuous shuttle service between Navy Lodge, Hyatt and Herrmann Hall (BOQ) through 0800
0630	Straggler registration, breakfast & Internet Island (public web access) – Herrmann Hall / Barbara McNitt Ballroom
0800	Morning Topic: Exploring our History (short break at 1030)
1200	Lunch
1330	Afternoon Topic: Discovering Highpoints (short break at 1500)
1630	Group reports
1700	Evening reception on the Quarterdeck, Herrmann Hall, through 1900
	Continuous shuttle service between Herrmann Hall (BOQ), Hyatt and Navy Lodge through 2000

Tuesday, 4 December 2001 – Dream

0600	Continuous shuttle service between Navy Lodge, Hyatt and Herrmann Hall (BOQ) through 0800
0630	Breakfast / Internet Island (public web access) – Herrmann Hall / Barbara McNitt Ballroom
0800	Morning Topic: Continuity – Maintaining What We Value (short break at 1030)
1200	Lunch
1330	Afternoon Topic: Imaging the Ideal Future (short break at 1500)
1630	Group reports

- |      |   |
|------|---|
| 1700 | Participants free to enjoy Monterey   |
|      | <ul style="list-style-type: none"> <li>• Center for Executive Education reception at the Superintendent's Quarters, (O7 &amp; above, spouses invited)</li> <li>• Continuous shuttle service between Herrmann Hall (BOQ), Hyatt and Navy Lodge through 1900</li> </ul> |

Wednesday, 5 December 2001 – Design

- |      |   |
|------|---|
| 0600 | Continuous shuttle service between Navy Lodge, Hyatt and Herrmann Hall (BOQ) through 0800 |
| 0630 | Breakfast / Internet Island (public web access) – Herrmann Hall / Barbara McNitt Ballroom |
| 0800 | Morning Topic: Map the Future (short break at 1030)                                       |
| 1200 | Lunch   |
| 1330 | Afternoon Topic: Action We Need to Take (short break at 1500)                             |
| 1630 | Group reports   |
| 1700 | Continuous shuttle service between Herrmann Hall (BOQ), Hyatt and Navy Lodge through 2300 |
| 1830 | Evening reception with the Chief of Naval Operations on the Quarterdeck, Herrmann Hall    |
| 2000 | Closing dinner – Herrmann Hall  |

Thursday, 6 December 2001 – Destiny

- |      |   |
|------|---|
| 0600 | Continuous shuttle service between Navy Lodge, Hyatt and Herrmann Hall (BOQ) through 0800 |
| 0630 | Breakfast / Internet Island (public web access) – Herrmann Hall / Barbara McNitt Ballroom |
| 0700 | CNO VIP breakfast at the NPS Superintendent's Quarters (by invitation)                    |
| 0800 | Morning Topic: Ownership – Taking Charge of Our Future (short break at 1030)              |
| 1200 | Lunch   |
| 1330 | Afternoon Topic: Wrap-up  |
| 1500 | Closing comments  |
| 1500 | Continuous shuttle service between Herrmann Hall (BOQ), Hyatt and Navy Lodge through 1900 |
| TBD  | MILAIR passengers will be bussed from their respective hotels to the airport.             |

The following is a list of all of the attendees at the Appreciative Inquiry Summit

## LEADERSHIP SUMMIT ATTENDEES

Ed Adame	CNAP	PO 1st Class
David Aguirre	USS BELLEAU WOOD, LHA 3	Chief
Maureen Alexander	Drug and Alcohol Program Management Activity	Commander
Paul Allen	USS CONSTELLATION (CV-64)	PO 2nd Class
Ben Ammerman	COMPHIBGRU THREE	LT
William Andrews	Fleet and Industrial Supply Center Norfolk	GS-13
David Architzel	Commander, Navy Region Mid-Atlantic	Rear Admiral
Richard Arriaga	Commander, Navy Region Southwest	Lieutenant
Keith Assante	Fighter Squadron 103	PO 3rd Class
Dora Azmus	Service School Command	Commander
Christopher Barnes	CNSP	LT Commander
Jamie Barnett	Task Force Excel	Captain
Joy Barnhart	Naval Base Coronado	Seaman
Sarah Becker	NSSF New London	PO 3rd Class
Bryan Beiriger	SEAL Team SEVEN	Chief
Karen Bennett	USS HIGGINS (DDG 76)	PO 2nd Class
Steven Bettner	USS West Virginia (SSBN 736B)	LT Junior Grade
Dave Beyrodt	Submarine Squadron Support Unit Norfolk	Captain
Kenneth Bitar	CNAP	Captain
Pat Blesch	FISC Norfolk	LT Commander
Anthony Boich	Fighter Squadron 103	LT Junior Grade
John Boyington, Jr.	CNATRA	Rear Admiral
Marcey Britt	USS HIGGINS (DDG 76)	PO 2nd Class
Reginald Brown	Submarine Squadron Support Unit, NewLondon	Master Chief
Paul Brown	NPS / C3F	LT Commander
Nancy E. Brown	CNO N61	Rear Admiral
Hilary Brutzman	Monterey High School	Student
Michael Bucchi	Commander, THIRD Fleet	Vice Admiral
Brian Buckles	DRPM-AAA	Major
Teresa Buckley (Tierney)	USS BELLEAU WOOD LHA3	LT Commander
Ricky Buria	USNA	Midshipman
David Burns	USS BELLEAU WOOD (LHA 3)	LT Junior Grade
Anthony Calhoun	Amphibious Group Three	Master Chief
Janis Cannon-Bowers	NAVAIR	GS-15
Tomas Carlos	11th Marine Expeditionary Unit	CAPT
Willie Carlton	CNET	PO
Zak Carpenter	USS BELLEAU WOOD (LHA-3)	PO 1st Class
Marcelo Carrillo	USS CONSTELLATION (CV-64)	Seaman
Blake Carter	Commander, Submarine Squadron 16	PO 1st Class
Michael Cassell	Commander, Undersea Surveillance	PO 1st Class
Malissia Chester	USS BELLEAU WOOD	PO 1st Class
Eric Chowning	NAVSEA	Lieutenant
Christopher Clarke	USS HIGGINS (DDG 76)	PO 2nd Class
Stewart Clarke	NR AIRPAC Supply 0294	LT Commander
Bill Cleary	The Learning Circle	Civilian
Lorraine Coke	UC Berkeley	Student
Patricia Cole	US Naval Academy	CDR

Adam Conaway	Commander Cruiser Destroyer Group One	Chief
Timothy Coolidge	VT-27	CDR
Paul Crecelius	Public Works Center	GS-13
Kenneth Cromer	Navy Recruiting Command	Master Chief
David Culcasi	Civil Engineer Corps Officer School (CECOS)	LT Junior Grade
Don Dare	Afloat Training Group Norfolk	Chief
Tyson Davis	USS BELLEAU WOOD	Seaman
Kevin Davis	Navy Personnel Command	Master Chief
Rick Davis	CNET	Captain
Rafaelito De Jesus	USS Belleau Wood (LHA-3)	Commander
Timothy DeFors	USS HIGGINS (DDG 76)	Ensign
James Delozier	USS CONSTELLATION (CV-64)	Master Chief
Ted Dempsey	HM-15	LT Commander
Steven Dennis	Navy Medicine Center for Organizational Development	Master Chief
Tim Dernbach	Commander, Third Fleet	LCDR
Mark Deskins	Naval Sea Systems Command	
Brian Devany	VT-27	LT Commander
Michael Dibiccaro	USS HIGGINS (DDG 76)	Master Chief
Frederick Dini	Fleet and Industrial Supply Center	Lieutenant
Rick DiNobile	Interactive Design Consultant	Civilian
Mark Dobbs	Navy Personnel Command	Commander
Raymond Donahue	JCS	Captain
Dawn Duran	Cisco Systems	Civilian
Frank Duvall	Naval Station Norfolk	LT Commander
Lester Ecalnea	Fleet and Industrial Supply Center	PO 1st Class
Thomas Eccles	Naval Sea Systems Command (NAVSEA)	Commander
David Ellison	Superintendent, Naval Postgraduate School	Rear Admiral
Kelly Elsea	HM-15	PO 2nd Class
Howland Enokida	Submarine Squadron Support Unit, Norfolk	LT Junior Grade
Valerie Ervin	USS HIGGINS (DDG 76)	Chief
Joseph Evans	Fighter Squadron 103	Seaman
Howard Fabacher	HM-15	Lieutenant
Marnee Finch	Command Leadership School	Captain
Barbara Fletcher	Bureau of Medicine and Surgery	Lieutenant
Michael Flowers	Center for Army Leadership, Combined Arms Center	Colonel
Timothy Flynn	SPAWAR	Captain
Linda Fobes	COMNAVPERSCOM	Master Chief
Gregory France	Afloat Training Group Pacific	Senior Chief
Roderick French	DoNCIO	PMI
Professor Barry Frew	Director Center for Executive Education	Professor
Cindy Frick	Roadway Express, Inc.	Civilian
Ty Fry	NAVBASE San Diego	PO 1st Class
Clarence Frye	CNMA	Master Chief
Robby Fuentes	OPNAV	Lieutenant
Robert Gangewere	Naval Station Norfolk	Captain
Juan Garcia	USS CONSTELLATION (CV-64)	Lieutenant
Arturo Garcia	CNET	LCDR
Jeremiah George	USS CONSTELLATION (CV-64)	Seaman
Kelly Getzleman	SEAL Team SEVEN	PO 2nd Class
Charles Gibbs	United Religions Initiative	Civilian

Julia Gibson	USS HIGGINS (DDG 76)	PO 3rd Class
Robert Gill	Naval Submarine School New London	PO 2nd Class
Greg Goodman	OPNAV N7	LT
Keith Goosby	CNAP	Master Chief
Glenn Gottschalk	USNA	AD-09
Thomas Grassey	Naval War College	Professor
Marcus Greer	NSGA YOKOSUKA JAPAN	PO 2nd Class
William Guild	Naval Special Warfare Center	Master Chief
Lee Gunn	Director, Center for Human Performance and Intellectual Capital at the CNA Corporation	Vice Admiral
Jeffrey Haas	Afloat Training Group Pacific	Lieutenant
Jelani Hale	SEAL Team SEVEN	Ensign
Ryan Hamilton	NAVSUBSCOL NLON	PO 1st Class
Bill Hanson	Naval Submarine School	Captain
Tyrone Hardy	NAVSTA / PORT OPERATIONS NORFOLK	PO 1st Class
Alfred Harms	Chief of Naval Education and Training	Vice Admiral
Vershaun Harris	Commander, Submarine Squadron 16	Seaman
James Hart	SEAL Team SEVEN	Master Chief
Danny Hawkins	Navy Personnel Command	PO 2nd Class
Douglas Healey		Master Chief
Robert Hennegan	CNO, SUBMARINE WARFARE DIVISION(N77)	Captain
Joseph Henry	Director, Military Personnel Plans and Policy	Rear Admiral
James Herdt	Master Chief Petty Officer of the Navy	Master Chief
Anthony Hernandez Jr.	11th Marine Expeditionary Unit	Sgt
Mario Herrera	COMCRUDESGRU ONE	Lieutenant
Sue Higgins	Naval Postgraduate School	Commander
Gerald Hoewing	Navy Personnel Command	Rear Admiral
Reginald Hollis	USS CONSTELLATION (CV-64)	PO 3rd Class
Michael Hott	Commander Training Air Wing Four	Chief
Kathleen Janac	USS CONSTELLATION (CV-64)	LT Commander
Edward Jaso	USS CONSTELLATION (CV-64)	LT Junior Grade
Raul Jiminez	HM-15	LT Junior Grade
Alfonso Jo	Navy Public Works Center	WL-10
Damon Johnson	USS CONSTELLATION (CV-64)	PO 1st Class
Michael Johnson	Commander, Naval Facilities Engineering Command	Rear Admiral
Michael Kalinski	USS HIGGINS (DDG 76)	LT Junior Grade
Harry Kantrovich	Navy Personnel Command	Master Chief
Thomas Keeley	Naval Air Technical Training Center	Captain
Raymond King	Navy Recruiting District San Diego	PO 1st Class
Albert Kinney III	NSGA YOKOSUKA JAPAN	LT Commander
Mary Kolar	Recruit Training Command Great Lakes	Commander
William Kowba	Fleet and Industrial Supply Center	Captain
Alexander Krongard	SEAL Team SEVEN	Commander
Rodger Krull	CNET	Captain
Sam Kupresin	CNAL	Rear Admiral
Laura La Bella	COMCRUDESGRU ONE	Lieutenant
Timothy LaFleur	Commander, Naval Surface Force, U.S. Pacific Fleet	Vice Admiral
Beth Land	Cisco Systems	Civilian
Bruce Latta	Commander Training Air Wing Four	Captain

Kevin Licursi	CNRSW	Master Chief
Jessica Lipnack	NetAge, Inc.	Civilian
Samuel Locklear	USNA	Rear Admiral
Nick Lopiccolo	Monterey High School	Student
Patrick Mack	SPAWAR	Lieutenant
David MacPherson	Naval Submarine School	Commander
Bobby Maddox	Afloat Training Group Pacific	Senior Chief
Jamie Magno	THIRD FLEET	PO 1st Class
La Shonda Malone	NAVAIRDEPOT North Island	PO 2nd Class
Willie Marsh	PHIBGRU THREE	Rear Admiral
Felix Mata	HM-15	Chief
Ernest Matkin	11th Marine Expeditionary Unit	SgtMaj
Valerie McCall	USS CONSTELLATION (CV-64)	LT Junior Grade
Julie McCarthy	NAVPERSCOM	Lieutenant
Justin McCarthy	Commander, Naval Supply Systems Command	Rear Admiral
Daniel Mcconnell	NAS North Island	PO 1st Class
Michael McCormack	Navy Supply Corps School	Lieutenant
Thomas McFadden	Navy Personnel Command	NF-06
Barbara McGann	Naval War College	Rear Admiral
Dennis McGinn	OPNAV N7	Vice Admiral
Gregory Melcher	CNO Washington, DC N81B	SES-3
Harry Merryman	Naval Submarine School New London	PO 2nd Class
Frank J. Michael	Commander Naval Air Force U. S. Pacific Fleet	LCDR
Kevin Middleton	USS BELLEAU WOOD LHA3	PO 1st Class
Robert Moeller	CINCPACFLT N3/N5/N7	Rear Admiral
Vaughn Morton	USS CONSTELLATION (CV-64)	PO 1st Class
Dennis Narlock	Fighter Squadron 103	Ensign
John B. Nathman	Commander, Naval Air Force U.S. Pacific Fleet	Vice Admiral
Todd Nelms	COMSUBRON TWENTY	Lieutenant
Danny Newby	USS West Virginia SSBN 736 Blue	PO 1st Class
James Newman	OPNAV N64	Captain
Steven Newsom	USS CONSTELLATION (CV-64)	PO 1st Class
Robert Newson	SEAL Team SEVEN	LT Commander
Benjamin Nguyen	Newport, RI SWOS	LT
Stephen Nimitz	Afloat Training Group Norfolk	Captain
Bill Noonan	The Learning Circle	Civilian
Gregory Nosal	Navy Office of Legislative Affairs	Commander
Dave Nystrom	Naval Postgraduate School	LT Commander
Larry Olsen	Naval Submarine Support Facility, New London	Captain
Craig Ozaki	USS BELLEAU WOOD (LHA 3)	LT Commander
Frank Pandolfe	CNO Office	Captain
Jason Parkhouse	Navy Supply Corps School	Lieutenant
Dwayne Patrick	COMTHIRDFLT	Master Chief
Weston Patton	Afloat Training Group Norfolk	PO 2nd Class
Daira Paulson	Naval Special Warfare Command	GS-13
Barnett Pearce	Public Dialogue Consortium	Civilian
John Peckham	Submarine Squadron Support Unit\Performance Monitoring Team	PO 1st Class
Andy Person	USNA	Lieutenant

Robert Phillips	Naval Postgraduate School	Captain
LT Henry Pierce IV	NAVBASE SAN DIEGO, CNRSW PORT OPERATIONS	Lieutenant
Chris Pohlson	Fighter Squadron 103	PO 2nd Class
Victor Popik	SPAWAR	GS-14
Daniel Porter	Chief Information Officer, Department of the Navy	SES-6
Gregory Pratt	CNET	Master Chief
Robert Rankin	Submarine Squadron 20	Master Chief
Deborah Ray-Brooks	Naval School of Health Sciences	
Christian Reed	SEAL Team SEVEN	PO 1st Class
William Reuter	Naval Air Systems Command	CDR
Patrick Reynolds	COMSUBRON TWENTY	Senior Chief
David Richardson	USNA	Lieutenant
Rene Rico	USS CONSTELLATION (CV-64)	PO 2nd Class
Michael Riley	Chief of Naval Personnel	LCDR
Matthew Roberts	Commander, Navy Region Mid-Atlantic	Lieutenant
Murray Rowe	Navy Personnel Command	GM-15
Frederic Ruehe	Commander, Navy Region Southwest	Rear Admiral
James Russell	Task Force Excel	Master Chief
Norb Ryan	Chief of Naval Personnel	Vice Admiral
Chad Sain	Director, Naval Leader Training Unit	Captain
Francisco Sanchez	HM-15	PO 1st Class
Mark Scepansky	USS CONSTELLATION (CV-64)	LT Junior Grade
Stephen Schlaikjer	CNO Office	SES-4
John Schultz	Drug and Alcohol Program Management Activity (DAPMA)	GS-12
Paul Serfass	Afloat Training Group Pacific	Captain
Richard Seymour	USS WEST VIRGINIA BLUE SSBN 736	Senior Chief
Stephen Shapro	NAVSUP	Commander
William Sharp	HM-15	PO 3rd Class
Dave Shiveley	COMSECONDFLT Surgeon	CAPT
Troy Shoemaker	Navy Personnel Command (PERS-43)	Commander
Jacob Shuford	Navy Personnel Command	Rear Admiral
Thomas Shugart	Navy Recruiting Region WEST	LT
Fred Simon	The Learning Circle	Civilian
Kenneth Slaght	Commander, SPAWAR	Rear Admiral
William Slingerland	COMNAVSURFLANT	Master Chief
Tara Souders	CECOS	PO 2nd Class
Edi Spencer	OPNAV (N79)	Commander
James Staley	Roadway Express, Inc.	Civilian
Jeff Stamps	NetAge, Inc.	Civilian
James Stokes	Assessments Division (N81)	GS-09
Richard Strickland	Commander, Undersea Surveillance	LT Commander
Elizabeth Stubbs	Case Western Reserve University	PhD Student
Joe Stuyvesant	Cruiser Destroyer Group ONE	Commander
Nigel Sutton	NAVAIRSYSCOM	LCDR
Billy Swearingen	NAVAL STATION NORFOLK, VIRGINIA	Senior Chief
Andrew Tafelski	COMNAVSPECWARCOM	Master Chief
Clint Trgeson	SHIPPINGPORT	Seaman
Richard estyon	USS PENNSYLVANIA (SSBN 735)(GOLD)	Commander
Jonathan Thompson	Naval Training Center, Great Lakes	Master Chief
Evin Thompson	Naval Special Warfare Group ONE	Commander

Donald Thompson	Center for Army Leadership, Combined Arms Center	SGTMAJ
Patricia Tracey	Director Navy Staff	Vice Admiral
James Tuttle	COMCRUDESGRU ONE	PO 1st Class
Bernard Ulozas	Naval Air Warfare Center, Training Systems Division	GM-15
Harry Ulrich	Task Force Excel	Rear Admiral
Eric Vaudt	Fighter Squadron 104	PO 1st Class
William Vetter	Navy Personnel Command	Chief
Angel Villafane	PWC / NBSD	Ensign
George Voelker	Navy Recruiting Command	Rear Admiral
Megan Voigt	USS HIGGINS (DDG 76)	PO 2nd Class
DJ Volk	Naval Postgraduate School	Civilian
Benjamin Wagner	USNA	Midshipman
Paul Waldrup	Fighter Squadron 103	Master Chief
Phillip Wallace	Fighter Squadron 105	Lieutenant
Daryl Walls	Naval Air Technical Training Center	LT
Billy Ward	COMCRUDESGRU ONE	Master Chief
Alexander Watt	Fleet Training Center, San Diego	Captain
James Watts	SEAL Team SEVEN	Ensign
Mark Weldon	Bureau of Medicine and Surgery	Master Chief
Charles Werchado	OPNAV N81	GS-15
Rick West	COMSUBPAC PEARL HARBOR HAWAII	Master Chief
Susan Westbrook	Commander, Undersea Surveillance	PO 2nd Class
Steve Whear	Commander, Naval Submarine Forces	Lieutenant
Robert hiteley	NAVRESCUIT Area 7	Master Chief
Elizabeth Wickersham	HM-15	Seaman
William Wildrick	COMNAVSPECWARCOM	Captain
Amie Williams	VT-27	Seaman
Daniel Williams	USS CONSTELLATION (CV-64)	Chief
Robert Williams	NETPDTC	Master Chief
Jeffrey Williams	COMNAVSPECWARCOM	LT
Sean Wojtek	HM-15	LT Junior Grade
Patricia Wright	Afloat Training Group Norfolk	Lieutenant
Gar Wright	Naval Air Reserve San Diego	Captain
Robert Young	Navy Personnel Command	PO 1st Class
Orrin Young	Surface Warfare School Command	Captain

During the first part of the Summit, a list of provocative propositions was created.

The following is a summary of what was presented from each table:

### **PROVOCATIVE PROPOSITIONS**

Table 1 & 2 -- “Learn to Teach, Teach to Learn”



Every member of our Navy team is committed to leading and creating leaders at all levels. To that end, teaching and mentoring are foundational to building bold and enlightened leaders. Throughout their careers, sailors will learn by example and receive timely and tailored training to be effective mentors and teachers. The Navy values and rewards successful leaders and mentors. These principles are paramount to our individual and collective success and future.

#### Tables 3 & 4

Leadership is the Embodiment of mission....

It is the multi-dimensional style, which infuses all levels with the spirit of service where individual opportunities are only limited by imagination.

#### Table 5 – Leadership

We promote leadership at every level. We challenge each other to contribute through empowerment, dialogue, and teamwork, advancing a fighting force that is second to none.

**SPEAK UP! INTERACT! MAKE A DIFFERENCE!**

#### Tables 7 & 8

By virtue of the oath we take, it is our responsibility to treat every Sailor with dignity and respect. We are committed to developing and appreciating the talented citizens entrusted to our charge, enabling them to achieve their highest potential. Our culture is one in which each member's contribution is valued, appreciated, and recognized every day. Confident leadership, and the ability to successfully accomplish the mission, is what the American people expect and demand from us!

#### Table 9 & 10 – Empowering Decision-Making

We, as leaders, are empowered to make decisions at the optimum local level and encouraged to be intelligent risk takers. We are taught how to make decisions and are provided the training, resources and authority for the task. This nurtures, inspires, and supports competence at all levels. Every action taken develops leadership and furthers mission accomplishment. We are committed to understanding the possible outcomes of our decisions and providing positive feedback. This demands inclusive decision-making and shared knowledge.

#### Table 11 – Covenant Leadership

We, the leaders, at every level of our Navy, make a covenant with ourselves and our people, to promote personal growth, responsibility for action, and accountability for

outcome. Covenant leadership is a fundamental, enduring pledge to lead myself, my shipmates, and the Navy, to excel in all respects in fulfilling the missions entrusted to us by our Nation.

#### Table 12 – Career Structures and Incentives

Career Structures & incentives are vital to our Navy in the competition for talent. A Navy career provides a range of attractive professional and personal development options that:

1. Are visible,
2. Include a wide range of educational opportunities,
3. Are available at all levels.

The Navy's career structure reflects the choice of the individual as its principal driver. Career choice against job requirement is enabled by a web-based market that properly values, incentivizes and promotes specific job openings.

The “market making” function is the evolved detailing function. The market maker is the Sailors’ agent working alongside his or her career counseling team to enable a systematically informed choice. The market making function depends on current, competitive, real-time picture of supply and demand and dynamic incentivization.

The career structure permits fluid movement between ratings and communities, lateral entry from a civilian career at most levels, expanded opportunity to convert from enlisted to officer career paths, and elimination of unskilled jobs.

A career in the Navy is fundamentally incentivized by the unique, elite nature and traditions of naval service.

#### Groups 13 & 14 -- Creating a Culture of Intelligent Risk-Taking

The Navy promotes the growth of responsible leaders at all levels by creating cultures of intelligent risk taking and innovation. This culture is achieved by instilling in each member a crystal clear vision of what the command mission and goals are; by providing the proper framework of knowledge, skills, and resources; and by setting outer boundaries so that risk may be safely managed.

Setting the tasks but not necessarily the manner, the wise leader challenges his people, but not to their breaking point. He knows that failure is possible but nonetheless trusts and empowers, and if failure does occur, he understands its educational value.

#### Table 15

Our Navy is a Global Group Genius (G3) of tremendous power and potential. We utilize the diversity and size of the organization as a sources of strength leading to empowerment and knowledge. As stewards of global group genius, we accelerate the sharing of lessons learned, knowledge, best practices and organizational learning.

#### Table 17

We are the world's finest government institution and combat force, serving as an inspiration and role model for all who desire to serve. We are a magnet for this nation's talent because we embrace, celebrate, honor and reward diversity in every facet of our organization and offer unlimited opportunity for personal and professional growth in the work place.

We recognize and integrate the diversity of our members to leverage individual perspectives that enrich our intellectual capital and broaden our war-fighting capabilities. As a result, no organization has the depth and breadth of our leaders.

Family - We are sailor-centric and family-centric. We value, support and fully incorporate the Navy family into individual's Navy career. We ensure that families are included in career decisions and are fully indoctrinated into the Navy community and support structure. We assist and facilitate the efforts of the spouse in their career and educational aspirations.

#### Tables 19 and 20 – provocative proposition

We are a world wide, highly diverse Navy Family that is fully connected---any time, anywhere. The Navy recognizes that maximizing the contributions of all Navy personnel is vital to mission accomplishment. Our preeminent combat team is led by emboldened leaders committed to life-long learning and to the fullest personal and professional development of the Navy family. Communities of Practice provide a vehicle for passionate inclusion and positive action designed to draw upon the combined brain power of all Navy personnel.

The results of these exchanges produce a continuous process that perpetuates and reaps the greatest possible personal and professional growth for all Navy members...thereby strengthening our total capabilities.

#### Tables 21 and 22 - Job Empowerment

A sailor's time is precious; therefore we in the Navy recognize the right of every member to be in a meaningful job, full of purpose and challenge. Each job is designed to instill in the member a sense of self worth that fosters a climate of unconstrained professional and personal growth. Our dynamic work environment and the requirements of operational readiness, demand that our members exercise creativity and flexibility to meet our ever-changing needs. We must optimize our most valued resource:

#### Table 23 & 24 - Inclusive planning is empowering planning

We believe that plans are a framework for action. Empowering planning methods are open and include all stakeholders based upon a dynamic communications structure. We value our ability to adapt in execution. Hierarchy supports networking and networking supports hierarchy in a reciprocal relationship.

We recognize that people at all levels have valuable knowledge, experience and unique perspectives. These stakeholders have ownership of the plans' elements via the opportunity for dialogue. A variety of planning tools are available and readily usable within and across units and organizations. Our planning processes provide for measurement and feedback. They are iterative and well socialized.

These characteristics make our plans executable, effective, mission-focused, integrated, adaptive and flexible.

#### Table 25 & 26

Life long learning, education and training is one of the pillars of the foundation of covenant leadership. The Navy has a culture that values learning, education and training where sailors serve their country and expand their potential. The sailor is motivated by the desire to achieve personal growth and contribute to the mission of the Navy. The Navy provides the structural support, adequate time and unlimited access for continuous learning. The Navy provides flexible adaptable learning opportunities to world wide professional standards.

We the Navy commit ourselves to excellence in life long learning education and training as the foundation for continuous challenge growth and success. . This enables the USN to continually expand our capacity to create our future.

We the Navy commit ourselves to excellence in life long learning education and training as a pillar of the foundation of covenant leadership. The Navy is motivated by the obligation to provide the opportunity to continually develop our people and expand the capacity to create our future. The Navy provides the support, time and unlimited access to flexible, adaptable learning opportunities and leadership that actively participates in the development of all Sailors as leaders. We foster leaders that encourage and participate in personal and professional LET. We institute a rewards system that recognizes leaders who pursue LET The Sailor is motivated by the desire to achieve personal growth and contribute to the mission of the Navy. This enables the Navy to expand the capacity of Sailors who are fully mission capable, willing to lead and able to accept any challenge. The United States Sailor is armed with the knowledge they are supported by a world class organization.

#### Table 27 & 28 – Organization Structure

Our structure ensures that everyone understands their role in the organization and mission. We balance mission accomplishment with personal and professional

development, allowing individualized career paths. We encourage life-long learning and our people are dedicated to both operational success and caring for their shipmates.

We tolerate mistakes and encourage risk-taking to unleash creative energy. Free-flowing horizontal and vertical communication enables exchange of information and ideas across all boundaries, to complement the chain of command.

#### Table 29

Navy leaders believe that positive change and innovation are the roots of our long- and short-term success. We are committed to seeking out transformational opportunities, both large and small, by engaging all members of each command in dialogue about being outstanding in everything we do. Recognizing the power of these ideas, we provide forums for people to work relentlessly to displace obsolete and previously accepted “best practices”. We share these transforming possibilities, across all the services, by dedicating resources, time, and subject-matter expertise, recognizing and rewarding those who contribute to our collective future. As shepherds, we must live our words, keep this flame burning, and never let the damper of inertia extinguish it.

#### Tables #31 and 32

The Nation places full trust and confidence in our Navy's ability to support and defend the Constitution and to uphold freedom and democracy around the world. Maintaining this trust demands that Navy leaders at all levels aggressively promote positive public awareness of the Navy's bold and enlightened leadership and commitment to higher purpose. It is the duty of every Sailor, past, present, and future, to embody our core values of honor, courage, and commitment. Instilling these core values into future generations of Naval leaders will ensure that a quality force is recruited and sustained.

The Nation places full trust and confidence in our Navy's ability to support and defend the Constitution and to uphold freedom and democracy around the world. Maintaining this trust demands that Navy leaders at all levels aggressively promote positive public awareness of the Navy's bold and enlightened leadership and commitment to higher purpose. It is the duty of every Sailor, past, present, and future, to embody our core values of honor, courage, and commitment and to instill them into future generations of Naval leaders.

#### Table #33

Leadership is the embodiment of mission...

It is a multi-dimensional style which infuses all levels with the spirit of service where individual opportunities are only limited by imagination.

### **LEADERSHIP SUMMIT PROPOSED PILOT PROJECTS**

After the provocative propositions, the next items that were presented to the entire group were the proposed pilot programs. These were presented from a select few individuals from each table (concept), who verbalized them up on the big stage to the CNO and to the entire Summit audience. The following is a list of all of the pilot programs:

#### **360-DEGREE FEEDBACK Pilot (A)**

**What is it?** 360 is performance feedback from multiple sources: *superiors, peers, direct reports, and self-assessment*. A development instrument, vice administrative, gives flexibility to tailor to the needs of each command.

**Purpose:** To give leaders, at every level, constructive feedback on desired leadership competencies.

**Where:** Pilot locations include SURFPAC (ships), South West Div (start at PWC), NATTC, NSSF San Diego, HM-15, SPAWARS, and Naval War College.

**Who?** Over 40 people in sub-group. Executive Champions are VADM LaFleur, VADM Tracey, RADM Johnson, RADM Slaght, RADM McGann

**Short-term (6-month):** Survey available models; select tools (web-based); develop metrics; foster benefits; developmental in nature; 6-months decision pt.

**Long-term (long-term):** “ Day 1 to Day Last;” capture positive trends (ie behavior trends, retention up, attrition down, recruitment up, career deveopment); Further roll-out at 1 year decision pt.

#### **360-DEGREE FEEDBACK Pilot (B)**

The purpose is to improve upon the promotion selection process through the use of 360 degree surveys.

- **Who:** HM-15 and other commands that are participating in the other 360 degree pilot programs

- **What:** Use an upcoming eval cycle. Prior to the ranking board of the members, have the individual’ s peers, subordinates, and superiors complete a 360 survey (Note: giving this survey out prior to the ranking board, will ensure there is no bias displayed on the survey, allowing the normal evaluation process to

take place). This survey will have questions that parallel the current eval subjects such as Honor, courage and commitment, CMEQ, etc. Upon the completion of the ranking board, the survey results and board results will be evaluated. Should there be a discrepancy between the member's board ranking and the 360degree survey, the data will be noted, and the experiment will be repeated on the next cycle at different command types. Should the results continue to differ, reevaluate current system and propose a new system, which includes the 360degree survey as an integral part.

- **When:** Next eval cycle.
- **How:** Collaborate with current 360 degree pilot programs and develop the survey. Use a student from NPGS-OR curriculum to head up program and design experiment. This will present a Thesis topic for a lucky individual.

#### **USS CONSTELLATION MENTORING PROGRAM PILOT**

Purpose: To create and sustain an effective mentoring program that promotes retention, advancement, and sense of purpose for command personnel.

Outcomes: Increase advancement

Increase retention/reduce attrition

Reduce drug and alcohol incidents

Reduce disciplinary actions

Increase a sailor's sense of purpose and career fulfillment

Key players: Tasking to be assigned to all command personnel:

CO/XO/CMC/CIO: top support

LDO/CWO: mentoring resources

CPO Mess: mentor program advocates and facilitators

First Class Association: mentoring coaches/trainers

Exceptional E5 and below: mentors

Critical Program elements:

1. Training Program for mentors.
2. Memorandum of Understanding/contract to establish goals and expectations of

the mentoring relationship.

3. Specific timeline for meeting mentoring objectives.
4. Regular meetings for mentor facilitators
5. Mentor/protégée feedback forms
6. Evaluation of outcomes

**Action Items:**

1. Explore mentorship "best practices"/lessons learned---consult with CNET on commands that are doing it right
2. Consult with CNET on mentor training programs
3. Generate shipboard mentorship training programs to become a self-sufficient command.
4. Identify a "core" mentoring team
5. Update the commands mentoring instruction.
6. Establish guidelines for the mentoring relationship
7. Incorporate the program into Training Indoctrination.
8. Long range focus on creating a command culture of mentorship.

**Timeline: June 30, 2002**

**LEADERS DEVELOPING LEADERS**

**Group Members (Pilot Steering Committee):**

Damon Johnson

Larry Olsen

Jim Stokes

Reginald Hollis

Rick Tyson

Paul Jimenez

Rob Newson

Brad Kolorov

Jan Cannon-Bower – NAWCTSD/TF EXCELL

Kelly Getzeleman

Bryan Beiriger



Paul Allen

Barnett Pearce - PDC

Larry Olsen

Group email address for steering committee – receive regular updates and provide input and recommendations throughout the pilot.

Purpose: Encourage developmental **relationships** and **leadership development** by providing **training, tools, and resources** to encourage and enable leaders to develop leaders. Partner with civilians (industry, civil servants, etc. w/ long-standing and well developed mentoring programs) to develop deep inter-personal skills and broader perspectives and insights.

Desired outcomes: Increased professional performance, job satisfaction, and morale

Champions: TF EXCELL and NAVSPECWARCOM

Key resources: TF EXCELL (Jan Cannon-Bower), Barnett Pearce, CEE, and Pilot Steering Committee, NAVSPECWARCOM and NAVSPECWARCEN.

Where: SEAL Team SEVEN, Coronado, CA (Commissions Mar. 17, 2002)

When: Immediately incorporated into TF EXCELL mentoring/leadership development initiatives. Reviews, using yet-to-be developed metrics and techniques, bi-annually for two years.

What this is: a training and education initiative to improve leadership development. Mentors volunteer and are requested by those they will mentor.

What this is not: an institutionalized, rigid, command mandated program.

Short-term action plans:

Tap into TF EX	TF EX, PSC, WARCOM	
initiated		
Identify roles/functions of mentors		
Identify necessary training		
Develop training continuum		
Identify civilian partners	CEE	TBD
Develop success metrics	TF EX, PSC, WARCOM	TBD

and evaluation techniques

**USS BELLEAU WOOD SHIPWIDE IMPLEMENTATION OF  
APPRECIATIVE INQUIRY**

***Group Members:***

RADM Frederic Ruehe

James Bevel

Teresa Buckley

Malissa Chester

Tyson Davis

Kevin Middleton

***Purpose:*** Create enlightened leaders throughout the BELLEAU WOOD crew.  
Improve moral and productivity by including all members in the process of  
appreciative inquiry.

***Description:*** First introduce the BWD crew to the appreciative inquiry method  
through exposure to stories, testimony from Leadership Summit participants and  
presentations on AI. Next conduct a pilot summit on board using a small cross  
section of the crew. Finally, conduct a large Summit onboard.

**Action Plan:**

<b>Actions</b>	<b>Help Needed</b>	<b>Due Date</b>
Present AI brief and implementation 01 plan to Command Element (CO/XO/CMC)	LS participants	10 DEC
Integrate plan into ships schedule 01 (PBFT)	Ships company	15 DEC
“ Success Stories” Box 01	Ships company	17 DEC
Publish stories	Ships company	15 JAN 01
- Ship paper		As available
- Interview on 6TV		Bi-weekly
- Leader in the spotlight		As available

Introduce AI process to command	Ships company	TBD
- All hands	LS participants	(next All
hands)		
o CNO video		
o Testimony from LS participants		
- Overview of AI presentation on 6 TV		10-17 JAN
02		
Pilot Summit on board BWD	LS Participants	TBD
(MAR02)		
- Cross section of ship	Ships company	
- Approx. 5% of crew		
Follow-on Summit (10% of crew)	Ships company	TBD
(APR 02)		

**Group 4 Pilots presented by Alex Watt, CO FTC San Diego:**

**E-SPONSORSHIP/E-WELCOME**

FTC San Diego and Service School Command Great Lakes have existing programs/Pilots that initiate the command sponsorship program. As soon as the student's Ultimate Duty Station is identified, an email is sent from the Training Center's course Lead Instructor to the receiving command's Command Master Chief. This email provides the receiving command with student's name, contact information, training courses to be completed prior to departure and requests assignment of a sponsor. Additionally, it initiates important dialogue between the ship and Training Center for any specific training requests, tailored to the current needs of the ship.

These "Reverse Sponsorship" programs will be evaluated by CNET by the 31<sup>st</sup> of January 2002. The best features of each program will be identified and CNET will promulgate program policy guidance to every Navy "A" and "C" School, by 15 April.

**VIRTUAL SEA BAG/TOUR**

FTC San Diego is developing a Compact Disc, which contains a virtual tour of a Navy Surface Ship. It includes video clips depicting the proper way to check aboard a ship, the Navy's "First 72 Hours" video clip, typical berthing configuration/personal storage space available, messing facilities, action clips of ships at sea and weapons firings, a division at quarters and some typical shipboard work spaces.

It is intended that this CD be provided to every sailor enroute to their first operational command. The information is designed to improve the knowledge and confidence of our young sailors and ultimately their potential for success. Once the sailor has checked aboard, they are free to send the CD to their families/friends and share their Navy adventure.

It is envisioned that this information can also be placed on a web site and used by Recruiters and people assigned to the Delayed Entry Program.

FTC SD and TFE PAC will continue development of the CD, with a target

completion date of 31 January. CNET will then evaluate the potential for mass production and use throughout NAVEDTRACOM.

**ENHANCED COMMAND READINESS AND SAILOR EMPOWERMENT  
THROUGH BILLET MARKETING AND SAILOR ASSIGNMENT  
OVER THE WEB**

Purpose: Empower commands with the ability and authority to *recruit, screen and select* qualified individuals to fill valid vacant billets to maintain the readiness of the command.

Discussion: A common theme in this week's discussions was empowerment of both Sailors and commands to make informed decisions. This pilot empowers

participating commands and qualified Sailors to “ **compete in the marketplace**” for assignment actions required to maintain readiness. It empowers Sailors to compete for billets they desire, and incentivizes and rewards sea-duty. It enhances the role of commands in the assignment process and capitalizes on work already in-progress by NPRST.

Designated commands will pilot this program as soon as implementing directives can be issued. This should be possible by April 2002. Consideration should be given for participation by Smart Ship/Smart Gator units as a substitute for the CNO priority manning status that they currently enjoy.

The concept is that commands use web-based tools to advertise their personnel shortfalls, solicit applications from qualified Sailors, and, following consideration of the qualifications of each applicant, the command selects one for the vacant billet. Commands use the web to attract the talent they require for mission accomplishment. Advancement opportunity (through an expanded Command Advancement Program) is an essential element.

Thoughts from the Group:

This procedure should be used for billets in paygrades E4-E6.

Individuals should be recommended for the duty desired.

Sailors selected for the billet who are one paygrade inferior may be “ CAP’ ed” when they are qualified in all respects for advancement. This should be an adjunct to existing CAP policy. The belief here is that Sailors will compete for billets that accelerate their advancement and leadership opportunities even if it requires them to extend their prescribed sea tours. This belief was reinforced by two Petty Officers at our discussion.

There are existing web sites such as BUPERS ONLINE and STAYNAVY that can be used to execute this program. Stretch goal includes exchange of the Sailors’ Electronic Field Service Record (EFSR) to facilitate command decisions.

Payoffs: Commands and Sailors are empowered in the assignment process, mission accomplishment is enhanced by better manning (fewer non-vol details), Sailors and commands get to market themselves.

Potential Downsides: A Sailor's movement from command to command creates a manning issue in the losing command.

Stakeholders: PERS-4, MCA's, EPMAC, TYCOM's, N13

### **Ethical Leadership**

#### **I. Group Members**

Daira Paulson	COMNAVSPECWARCOM
Bob Phillips	Naval Postgraduate School
Evin Thompson	CNSWG-1
Tim Defors'	USS Higgins (DDG-76)
Valerie McCall	USS Constellation (CV 64)
Rob Newson	Seal Team Seven
Tom Grassky	NWC
Robert Fuentes	CNO
Steve Shapiro	FISC Puget Sound/PSNS
S. Lökkifar	USNA
Bill Kowba	FISC Norfolk

#### **II. Purpose:**

To assess, evaluate and improve the quality and availability of professional ethical training at all ranks and levels, helping to create and sustain ethical citizen-sailors serving in a Navy committed to "doing the right thing."

#### **III. Short Term (2 month) Tasking to Center for the Study of Professional Military Ethics (CSPME), located at USNA:**

A. Conduct a gap analysis to inventory types and extent of all formal ethical training occurring at all levels of Naval leadership (E-1 to O-10).

B. Audit FY00 and/or FY01 records of Naval Non-Judicial Punishment to discern possible trends in ethical shortfalls or needs.

#### **IV. Long Term (1-2 years) Tasking, coordinated through CNET, utilizing CSPME and other key active duty leadership as primary resources:**

A. Develop Guiding Principles to flesh out core values. Place these on a card to

be carried by all Sailors.

B. Develop fleet-wide continuous training resources on ethics that are interactive, practical and user-friendly.

C. Integrate systemic ethical training and discussion into PARS, GMT, and other standard training venues.

D. Liaison with other branches of the military to share resources and insights on mutually beneficial approaches and programs.

E. Research and propose to CNO relevant policy statements to nurture ethical vision and behavior throughout the sea services.

F. Give attention to ethical training and education that maximizes media (including Hollywood movie vignettes), contemporary music and portable interactive resources.

G. Research and propose means and methods to identify and affirm Sailors who exemplify ethical heroism and moral courage.

H. Develop software that embodies relevant ethical issues and scenarios for training.

I. Develop and articulate the navy' s Rules of Engagement for general or recurring types of ethically conflicted situations faced by Sailors.

J. Evaluate and upgrade academic and professional education available in ethics at the Naval War College, Armed Forces Staff College, the Naval Postgraduate School.

K. Develop and implement targeted ethics training at all Navy accession points for enlisteds and officers, such as NAPS, OCS, NROTC and RTC Great Lakes.

L. Conduct a Navy-wide billet scrub to identify billets where an ethics P-code is necessary or highly desirable.

V. *Possible* Indicators of Progress

A. Decline in number or percentage of Navywide NJPs, especially for offenses clearly rooted in ethical violations.

B. Increased perception of “ fair treatment” by personnel in Command Climate Assessments.



- C. Improved morale at local commands.
- D. Decrease in number or percentage of incidents of spouse abuse, DUI and other destructive types of conduct.
- E. Improved ability of enlisted and officers of all ranks to clearly articulate ethical ideas and behaviors consistent with Navy Core Values, whether in training sessions, on duty or on liberty.
- F. Command confidence in shifting annual ethics training from the JAG to a cross-section of command leaders.

Recorder/reporter:

CAPT. Robert J. Phillips, CHC, USN

Naval Postgraduate School, Monterey, CA

DSN 878-2241/2

#### **POINTS TO PONDER**

“ He’ s all skill and no character.”

(from ‘ The Hustler,” quoted by VADM Stockdale)

“ There is no right and wrong. There is only fun or boring.”

(Hero in movie, “ Hackers” )

“ Right is what I feel good after; wrong is what I feel bad after.”

(Ernest Hemmingway)

“ When faced with a choice between evils, choose the one you’ ve never tried.”

(Mae West)

“ The man is immortal. He has no heart, no brains and no guts. *How* can he die?”

(Clemenceau on a political opponent)

“ Character is fate.”

(Heraclitus)

“ It is possible to get all ‘ A’ s’ and flunk life.”

(Walker Percy)

“ He was never publically wrong nor inconveniently right.”

(description of bureaucrat in ‘ The Day of the Jackal’ )

### **Plane Captain (PC) Pilot**

**Purpose Statement:** The purpose of this important pilot is to shorten the time between when a rated E-3 and below checks aboard their command and when they actually start work in their rating; while also enhancing professionalism in the plane captain field.

**Why:** Every E-3 and below reporting to an aviation squadron finds themselves performing duties outside of their trained profession for large periods of time (above and beyond normal TAD requirements).

For example, an AMAN checks aboard—the first 30 days are indoc, then the next 90-120 are spent TAD (FSA, First Lieutenant, Barracks, CAG LOX/FOD teams, etc). Once completing these duties, this sailor is now moved to the Line Division (all rates are used), where their initial Plane Captain qualification takes 3-6 months (platform dependent). Once qualified, they remain in the division for an additional 6-9 months. Then, and only then, can they go to their “ in-rate” work center, finally getting to work in the field for which they were recruited. The average time for this is currently 22-25 months from date of entry.

**What:** Detail 32 ABH’ s (aircraft handlers) to VF-103 at post-overseas movement + 30 (early 2003) to assume duties of Line Division.

Breakdown of personnel:	E-7	1
	E-6	2
	E-5/4	4
	E-1/2/3	25 (min)

The above number is for a ten plane F-14B (Upgrade) squadron. The number of other rated personnel (E-1/2/3) would be reduced by a proportional number.

**Players:** TYCOM/EPMAC/CNPC/SQUADRON CO

**Pilot Length:** 18-24 months

**Advantages:**

- Increase morale and retention among rated personnel formerly assigned to that division.

- Increased detailing options and shore duty assignments, as well as broadened professional horizons, for ABH rate.
- Increased professionalism in the Line Division through dedicated aircraft handlers.
- Improved aircraft handling and safety onboard CV/CVN's due to common training/background.
- The Best Thing: with this in place, rated professionals would be performing the jobs they were recruited for in 10-12 vice 22-25 months, street to shop.

## **E-PSD**

**Purpose:** The purpose of this pilot is to put members' pay and travel transactions in the hands of the members. This will reduce overhead, the middle man, transaction time, and simplify the current bureaucratic system using current and future web-based technology.

**Group Members:**

- Barbara McGann
- Paul Brown
- Jason Parkhouse
- Mike McCormack
- Thomas Shugart
- Richard Arriaga
- Patricia Wright

**Description:** Today's youth/ tomorrow's Navy are raised in a technology rich/ web based environment. Upon entering the Navy today, there is an experienced regression into a 50's bureaucratic structure.

We do have E/M Self Service, however it is not robust enough to handle the full gamut of member initiated Pay/ Pers transactions. It is possible to do almost all of these transactions online. The result: a member-driven system similar to that which exists throughout the civilian world.

The pilot could begin at NSCS Athens and at one afloat unit to ensure feasibility ashore and afloat.

The issue of money and development time are driving / limiting issues. The technology is available for complete exploitation. Since this is an apparent expansion of the current E/M SS system, the expansion is a matter of code.

**Key Players:**

- NSCS Athens
- One afloat unit
- DFAS
- CISCO Systems
- Funding agent

**Timeline:** This Pilot could begin as early as the spring / summer of 2002, however money is a limiting issue. There is also the question of Law. If there are any issues which may require the changing of public law, that will inhibit the pilot. DFAS will provide guidance with this issue.

**Short-term actions:**

## VALUING DIVERSITY AI SUMMIT

### Members:

- Keith Goosby
- Doug Healey
- Clyde Marsh
- Deborah Ray-Brooks
- John Nathman
- Barbara Fletcher
- Leanne Braddock

The purpose of this important pilot is to bring about a Diversity AI Summit to decide on the overt purposeful activities to grow and value diversity in the Navy. This is a bit different from other diversity initiatives, in that it will focus more generally on the concepts of valuing and embracing diversity as a strength. Earlier programs (and some current programs) have focused more on the complaint/compliance model, which tends to send the message of “ tolerating” rather than valuing diversity.

We want to gain insight and answer to the following questions:

- a. What is diversity?
- b. Do we value diversity?
- c. Are we diverse?
- d. What are the values of being diverse?
  - a. Retention
  - b. Different Experiences
  - c. External Appeal
  - d. Trust – Internal and External
  - e. Combat Capability

We plan to conduct an AI Summit:

- a. Horizontal and Vertical – Admirals to Seamen.
- b. Policy makers and Fleet representation involved.
- c. As a short-term action we recommend a planning meeting concerning the development of the summit to be held no later than February 2002 with the summit

taking place June 2002.

d. The long-term action plan is to have a more purposeful plan for recruiting, mentoring, and retention.

### **ANCHORING COVENANT LEADERSHIP IN THE CULTURE OF OUR NAVY**

**Discussion:** The philosophy that we are embracing in our Navy today which will allow our people to explore their true capabilities is that of covenant leadership. The fact that what each of us can do is a product of what each of us can be, drives us to the conclusion that allowing the full development of all of our Sailors (E-1 to O-10), both professionally and personally, is essential to the maintenance of our maritime warfighting superiority.

Each of us is a Sailor first, and each of us is required to establish a covenant relationship with both our shipmates as individuals and our Navy as a whole. In order to establish that relationship we must articulate what it encompasses. The design of the Sailor's Oath will achieve that goal.

In aligning every leader at every level with the simple swearing or affirming of a common oath, we will ensure that the basic tenants of covenant leadership are instilled and maintained as a part of our culture.

Utilization of the oath would be as follows:

In conjunction with required oaths, at every major career milestone, advancement, assumption of command or charge, reenlistment, etc, and at appropriate times outside that description, the major participants in the event would recite the Sailor's Oath, in front of as many of their shipmates as proper for the situation. This Oath, an example of a possible Oath listed below, would be a common thread from Admiral to Seaman and would serve to provide a bond and commitment between each and every Sailor in the Navy.

#### **SAILOR'S OATH**

I, (state your name), do solemnly swear/affirm, that I will embrace the Navy's core values of HONOR, COURAGE and COMMITMENT; that I will uphold the traditions of our Naval Service; that I will trust, respect and develop my shipmates; and that I will place my ship and shipmates ahead of myself.

A pilot could be composed of introduction of the Oath and it's use to a platform or shore command and after an appropriate period of time evaluate the impact on command climate.

#### **ELECTRONIC/VIRTUAL SEABAG**

Table 4:

Purpose: To test the feasibility and usage of a government issued laptop computer to increase Sailors' rate of learning and to enable them to better integrate into their commands through information obtained via a personal portal web page and sponsorship.

What: Issue government procured laptop to Sailors upon graduation from Recruit Training Command

Procurement: Via NMCI contract (Line Item Entry)

When: Preferably in Spring 2002 (dependant on procurement timeframe)

Where: Recruit Training Command: One Recruit Division (88 Sailors)

Length of Pilot: Minimum 12 mos (A-school to first command)

Measurement: Continuous feedback from participants and gaining commands

Champions: CNO N6, CNET, RTC GLAKES, 88 Participants, Gaining Commands

Group POC: MCPO Pratt (RTC Glakes)

#### **ACCELERATION OF THE CPO LEADERSHIP INITIATIVE**

A. The CPO Leadership Initiative begun in Dallas in June 2001 provided a set of core competencies required in all CPOs.

- a. Leadership
- b. Development of junior officer and enlisted Sailors
- c. Communicating the core values and standards of the Navy
- d. Serving the chain of command and fellow CPOs with loyalty

B. It is believed that the work done to date is the 80% solution and enough to forge boldly ahead with two courses of action to capitalize on the core competencies.

C. Pilot: In concert with CEE staff and CNET obtain and pilot a course to a small group of CPOs from this years CPO selects. Evaluate the benefit of and

modifications required to provide the training to the CPO selects of 2002. Time frame for accomplishment is February 2002

D. Conduct an AI based group intervention with select members from the officer and CPO participants of the current Leadership Summit. The goal will be to identify and to clarify the respective roles, expectations and improvements to the relationship of the officers and CPOs that will produce an improved cohesive combat leadership team improving Navy mission accomplishment. Time frame for completion is January 2002

### **CREATE COMMAND INDOCTRINATION LEADERSHIP COURSE**

**PURPOSE:** Implement a philosophy of Leadership at the lowest level.

**GROUP MEMBERS:** RPC David Aguirre, NC1 Zak Carpenter

**DESCRIPTION:** Bring our vision of leadership to new Sailors (E1-E4) beginning with new check-ins in Indoctrination Class in the form of First Term Leadership Workshop onboard USS Belleau Wood (LHA 3).

#### **Short Term Action**

#### **Help Needed**

Generate a proposal for Command CO)

Chain of Command (CMC, XO,

Leadership Summit Members from BWD

Develop curriculum with existing BWD

Leadership Summit Members from

resources

#### **Long Term Action**

- Feedback (Tracking System)
- Specific Response Questionnaire at 6, 12 and 24 month to compile data and results



### **ACCELERATED SAILOR ASSIGNMENT PROGRAM (A.S.A.P.)**

1. Purpose: To link Sailors and their Families with their future: Allowing them to identify with their new command and its leadership environment even before they arrive. We will accelerate the initial assignment of the Sailor to his/her command and follow on advanced training, allowing for earlier command intervention.
2. Partnerships Required: TYCOM/EPMAC/CNPC/NTC
3. Pilot Length: 24-36 Months
3. Pilot Description:
  - CNPC working with TYCOMS will identify BG/ARG for conduct of this pilot.
  - CNPC working with TYCOM and EPMAC will identify the total number of GENDET billets needed man BG/ARG to BA. GENDETS will then be billeted by BSC to the individual BG/ARG component.
  - Once this process is complete the BG/ARG will be notified to allow sponsorship program to be implemented. BG/ARG should arrange with NTC to sponsor recruit divisions, which will provide fleet familiarity.
  - GENDETS will be issued 36 Month orders. Individual commands will ensure that GENDETS are qualified for "A" School assignment 12-15 months from report date.
  - CNPC will conduct "A" School Detailer visit/contact at 12-15 month point to screen GENDETS for "A" School assignment. The goal of this visit is to issue orders for GENDETS to allow member to detach at the 24-month point. Mbr will be required to Obliserv for "A" School IAW ETM.
  - CNPC will fill gaps created by those detached to attend "A" School.
  - "A" School length will determine follow-on assignment from "A" School. Member may opt for return to previous assignment in new rating.
4. Measure of success: At the 24-36 month point re-enlistment and cohort attrition rate for the BG/ARG will be compared with other BG/ARG. Additionally, all members of pilot will be requested to complete ARGUS survey to gather additional data.

### **EXPANDING CAP**

**The Pilot' s Vision:** The Navy wants to promote the best qualified candidates to fill leadership positions.

#### **Will expanding CAP accomplish this?**

To limit size of pilot, the issue of whether shore commands should be included in CAP will be

addressed. There is great support, however, for the expansion of the percent CAP quotas currently applied to sea going commands. This pilot should provide the groundwork for a future pilot with the sea going CAP goal in mind.

**Who owns the pilot?** The ownership of this program should reside with the Chief of Naval Personnel.

CNP will designate one or two shore commands to institute CAP following the same guidance currently applied to sea going commands (specifically, same CAP percentages)

**Measure of the pilot's success:** To measure the success of this pilot an objective comparison must be made amongst various groups. The proposed groups would consist of the following:

**From pilot shore command**

CAP'd personnel vs. PNA

Advanced personnel vs. PNA

**From sea command**

CAP'd personnel vs. PNA

Advanced personnel vs. PNA

**Notes:**

- 1) Comparisons will be made only between same rates.
  - 2) PNA are the top 5 personnel (highest final multiple) from the same rate who were not advanced in the advancement cycle following CAP cycle.
  - 3) This variety of groups is to provide for sufficient control group comparison.
- The idea here is that those PNA personnel are those who were displaced as a result of the personnel who were CAP'd.

To make the objective comparison the following rules should be adhered to:

- CAP Expansion Validation Board (those making the comparison) should consist of: command qualified officer, junior officer, and senior enlisted of same rate.
- CAP Expansion Validation Board members are not be in COC of those being compared.

- If the process is to include an interview it should be in civilian clothes so judgments can be made without knowing if the individual was advanced or not.

The CAP Expansion Validation Board task is to finalize a ranking of those personnel in each rate being compared.

The rankings are then to be compared to determine if the results of the CAP cycle consistently promoted the better candidates or not.

**When to initiate the pilot?** Beginning Jan 02, coincident with the start of CAP cycle.

### **PROFESSIONAL CERTIFICATIONS FOR NAVY SCHOOL GRADUATES**

**Purpose:** The purpose of this important pilot is to provide professional certification for Sailors graduating from their Navy schools.

**WHO:** AMS, Aircraft Mechanical Structural Rating

**WHAT:** Provide Professional FAA Certification for Graduates of AMS “ C” school by Partnership with Federal Aviation Authority Certification Teams.

**WHY:** Improve AMS retention, Improve Professional Pride in the AMS Rating, Enhance Aircraft Readiness, Provide Tangible Benefit to AMS Sailor’ s and their Families.

**WHEN:** Within one year.

**HOW:**

#### **SHORT TERM ACTIONS**

Actions

Help Needed From

Due date

Develop AMS Senior Rating Working Group

AMS “ C” School

Jan 2002

Meet with FAA Cert Team

FAA Leadership

Feb 2002

Advertise the Pilot Project in LINK, Navy Web site

BUPERS

March 2002

### **LONG TERM ACTIONS**

Actions

Help Needed From

Due date

Adjust AMS “ C” School Curriculum to match FAA Cert Requirements

AMS “ C” School

July 2002

Identify Resources Within Schoolhouse

AMS “ C” School

July 2002

Get FAA to Certify the First AMS “ C” School Class

AMS “ C” School

Dec 2002

## GRADUATE EDUCATION OPPORTUNITIES AT EVERY LEVEL

Purpose: Open military graduation programs to qualified enlisted personnel E-5 and above. This, we believe, will also inspire retention, meet educational expectations, and add diversity to the military force and to the educational programs, as well.

- Promote the whole person concept.
- Develop parity between the military and civilian work force. ( **Corporate models have proven education is paramount to retention.**)
- Seeking new goals and going to the next level is in line with the Navy's philosophy.
- Recruiting tool for excellence.

Action: The following recommendation is not intended to limit enlisted personnel strictly to the NPS. This recommendation presents a viable option that creates a point of reference for future options.

Matriculate 10 qualified enlisted personnel into a relevant post-graduate program at NPS. Track academic achievement while in school and post- school professional performance for a period of two years. Each student will incur a four-year obligation to include a degree utilization tour.

Pilot will exist for four years, ten enlisted personnel matriculating each year.

Selection will be conducted at the Force and Fleet Master Chief level with the MCPON having final approval authority.

NPS chosen for the following reasons:

1. Institution and academic programs of study are already in place.
2. World-class military sponsored education.
3. Easily tracked.
4. Ease of application process.

POCs: BMCM(SEAL) Will Guild: [wbguild@aol.com](mailto:wbguild@aol.com)

### **LEADERSHIP DEVELOPMENT PORTAL**

The purpose of this portal is as follows:

1. Provide interactive web site to share leadership experiences
  - Chat room
  - Posting site
  - Leadership-in-the-spotlight stories (video) depicting strong deck plate leadership.
2. Leadership Training Toolbox
  - Pre-packaged lessons
  - Reading lists/current leadership articles (CNO, CMC, other)
  - Interactive training videos
3. Monthly leadership videos
  - CNO
  - MCPON
  - Senior Leaders (enlisted and officer)
4. Site functional by end of January
  - CNET (LTC) lead, with support from Senior Enlisted Academy, Naval Postgraduate School and the Fleet
  - Team with TF Web?
5. Business rules/funding/updates to follow...

### **EARLY DELIVERY OF LEADERSHIP TRAINING: E-1 THROUGH E-5 WORK CENTER SUPERVISOR TRAINING**

Send E-1 through E-5 to E-5 Naval Leadership Training Continuum. The reason for the early training is that E-1 through E-5 often get put in positions of leadership before they receive formal leadership training. Providing the E-5 LTC to more junior sailors will prepare them for future work center supervisor and other leader roles. Opportunities for “ recycling” through the course would be available as a refresher as students promote and become more senior.

The pilot class make-up will include all communities (i.e. surface, aviation,

submarines, etc.)

Pilot will take place on both coasts (Coronado and Little Creek NLTUs).

CNET LEAD Division will take responsibility for identifying class membership, and coordinating the initial class (and follow-on classes) with the NLTUs. E-1 to E-5 members of the Summit Group proposing this pilot have expressed interest in participating in these pilots. CAPT Rodger Krull has indicated that CNET can provide the support for this project.

Additionally, CNET will devise a feedback instrument to administer to pilot participants immediately following completion of the course to determine their assessment of relevance and application. Follow-up will be done after 90 days with an online/electronic assessment of the students and their supervisors to determine effectiveness in the work center.

Points of contact:

Proposed by GM2 Meagan Voigt, [voigt\\_gm2@higgins.navy.mil](mailto:voigt_gm2@higgins.navy.mil)

FC3 Julia Gibson, [gibsonj\\_fc3@higgins.navy.mil](mailto:gibsonj_fc3@higgins.navy.mil)

SK2 Marcey Britt, [britt\\_sk2@higgins.navy.mil](mailto:britt_sk2@higgins.navy.mil)

### **DESTINY WORKSHEET**

Members:

Captain Sain (Insane)

Captain Davis (Smoke)

CDR Coolidge (Cool)

LCDR Devany (Chubby)

FT2 Gill (Fish)

Pilot Name: Officer Basic School(OBS)

Background: While USN enlisted have single accession point training culminating in an emotional Battle Stations drill, Officers do not have the same single source foundational training. The USMC has successfully institutionalized a foundation leadership development (TBS).

The purpose of this important pilot is to establish a baseline leadership foundation, develop Navy Esprit de Corps and provide the appropriate tools that are common to all naval officers. Leveraging the success of TBS, the Navy should establish a similar opportunity.

The Navy Officer Basic School will be required for all naval officers regardless of community. The school will follow accession and prior to any community training pipeline. The location is TBD, but envision either single or dual site. Officers will learn and apply the basic skills and leadership principles required of every junior officer in a blended environment, culminating in a Crucible type rite of passage. Through OBS, Officers will graduate with the seed firmly planted that we are all leaders in one Navy.

Short term:

Actions	Help needed from	Due
Date		
Define Requirements	TF Excel/USMC/USA	
02/02		
Consult TBS/OBS	USMC/USA	02/02
Identify location	CNET	03/02
Run Pilot	Bupers/CNET	06/02
Assess Pilot	CNET/Fleet	09/02

Long term:

Actions	Help needed from	Due
Date		
Implementation	Bupers/CNET/USMC	10/02



## UNIT LEVEL LEADERSHIP TRAINING

### Group Members:

CAPT Marnee L. Finch Command Leadership School

LT Steve Whear SUBLANT (N12)

Purpose: Enhance mission readiness through constant reinforcement of leadership principles

Reinforce leadership concepts and techniques

Improve relationships within and throughout the command

Further develop the CPO mess and CPO/WR relationships

To build on the basics provided in existing continuum in a unit setting

Improved productivity and risk taking

Description: Conduct unit level leadership training, designed to improve everyday interactions among all levels of the chain of command and reinforce the importance of current and relevant leadership topics. The training would be conducted at pack/pack minus commands (as identified by the TYCOM or ISIC), where the CO/XO team has been in place at least 6 months and have 6 months remaining on their tour. “Classes” would contain a cross section of the workforce (see Fig 1). The training would occur within a repetitive one year cycle (see Fig 2). Training will be drawn from existing curriculum and delivered (at least in the first increment) by trained facilitators from CLS/SEA/NLTUs.

End state: People are valued

Enhanced respect and professionalism

E1-4      E5      E6      E7-9      DIVO      DH      CO/XO

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Fig 1

Jan	Apr	Jul	Oct
Ext MTT	Cmd CTT	CMC	SOY

Fig 2

### Timeline:

Jan 02 – Modify curriculum

Feb 02 - Work with TYCOM/ISIC to identify units

Identify training team

## **ENHANCE THE “ CAN-DO” CULTURE AT SERVICE SCHOOL COMMAND, GREAT LAKES, USING AI TECHNIQUES**

**Purpose:** Energize staff at every level to seek innovative ways to enhance our “ A” School (military) training at SSC.

Military is in parentheses because it is not the sole focus of this program, which is expected to have lasting, widespread results. However, it will be the *first* area of focus, because Fleet feedback indicates this could have a very visible impact and give the group a quick payoff/enabling success.

### **Short-term actions:**

Establish Steering Group – Jan 02

Large Group Intervention (LGI) with 200 staff instructors and stakeholders – Spring 02

### **Long-term actions:**

Develop ways to continue the changes and encourage the groundswell (i.e., we need to get the message “ this is how we do things here” to incoming people

### **What we need:**

A few thousand dollars to hire professional trainers for the LGI. Must send the signal that this is important, and we have to train our implementation core team well!

**Measure:** Fleet’ s perception of our “ A” School graduates’ military bearing.

## **CLARIFYING THE VISION OF THE NAVY**

The purpose of this pilot project is to establish a vision statement and guiding philosophy so that our Naval identity is clarified for all sailors. This will include an enduring motto coupled with timely catchphrases. The motto will tie together both the Cano’ s and SECNAV’ s top priorities into a concise statement to which all sailors can relate and recognize. The catchphrases will be used to target specific audiences. (An example of a motto is “ Semper Fidelis” ; an example of a catchphrase is “ The few, the proud, the Marines” .) The following organizations

will draft a one page vision statement and philosophy, as well as a motto and catchphrase:

Naval War College (one class)

Senior Enlisted Academy

30 Something Group (should have a cross-section of the Navy)

These organizations will have 30 days to complete this task. Upon completion, each of their products will be submitted to the CNO for review and decision.

## DECKPLATE SNAPSHOT

Why: We have a great story to share with our senior leaders and congressional stake holders and our senior leaders have great insight to pass on to our deckplate sailors.

What: Educate our seniors, our juniors and our civilian leadership on the great things our sailors do on deployment through a cross-section, cross-function area dialogue.

How: With a cross section of sailors and officers that have completed a deployment within the last two months and a cross section of those deployers, conduct a brief to the CNO, SECNAV, SECDEF and Commander in Chief on what they did during their deployment. Each of the sailors and officers will give a two minute vignette of what they did to the senior leadership of our Navy. Every 6 months one of the two fleet commanders will delegate what ranks and talents will be briefed and TYCOM, Group and Squadron Commanders will send the sailors to consolidate at the Fleet Commander level to go forward. The meetings of the deployer team will be a dialogue where the deployers will tell the senior leaders what they did but also the senior leaders can and should provide mentorship and insights to the sailors.

When: Coordinate today, start in Jan with the Enterprise Battle Group.

Where: Starts at the fleet and goes to DC.

How: Make me the a virtual CNO Assistant to make this work. CNO gives priority for MILAIR to fly the team and TAD funds to move this small group of people

Who:

The Deckplate team:	The Functional Areas
E1	Destroyer Sailor
E2	Cruiser Sailor
E3	AO Sailor
E4	Flight Deck Sailor
E5	P3 Sailor
E5	Amphib Sailor
E6	Airwing Sailor
E7	FMF Sailor
E8	SSN Sailor
E9	<sup>194</sup> Airwing Sailor
O1	SEAL
O2	CV non-flight Deck

### **PROTOTYPE FOR COMMUNITIES OF INTEREST PORTAL**

Championed by: RDML Nancy Brown

Purpose: Create communities of interest portal that link to the Navy's portal (created by Task Force Web).

Focus: Leverage the work being done by the new IP community professional development portal project.

Short term deliverables:

- Jan 02 - Define objectives and metrics to monitor progress/success (coordinated with TF Web effort)
- Feb 02 - Portal framework developed, and distributed to stakeholders.
- May 02 - Portal light-off/IOC

Long term:

- Link to Navy's Task force web portal
- Expand concept to other Navy communities.

### **LEARNING ENVIRONMENT SEMINAR**

Group members: Barnett Pierce, Capt Rodger Krull, Capt Dave Begrodt

Purpose: The purpose of this pilot is to enhance the learning environment within a Navy command

Description: This pilot involves developing and conducting a one-day (maximum) seminar for all leaders (officers, chiefs, petty officers) assigned to a command.

Maximum use will be made of available off-the-shelf material when developing the curriculum. The seminar will be designed to enhance each leader's understanding of:

- How people learn.
- What motivates people to learn.
- The strengths and weaknesses of various instructional strategies.
- Techniques to maximize learning effectiveness (to include concrete examples of situations where such techniques have been successfully employed).

In concert with developing the seminar curriculum, an evaluation plan will be created, to include measurable criteria, to assess the impact of the seminar on the subsequent learning environment within the command.

The seminar will be administered to up to three individual commands in order to help assess its impact, which will be done over the subsequent six months.

Short Term Action:

<u>Action item</u>	<u>Responsibility</u>	<u>Due</u>
Develop seminar curriculum 02	CNET	Feb
Develop evaluation criteria/plan 02	CNET	Feb
Identify seminar leader(s) 02	CNET	Feb
Identify pilot platforms (Norfolk-based Jan 02 submarine(s))	Norfolk Submarine  Squadron Support Unit CO	
Schedule/conduct seminar CO/CNET Mar/Apr 02		SSSU
Evaluate impact 02	SSSU CO/CNET	Fall
Share lessons learned Fall 02	SSSU CO/CNET	
Assess revision/expansion of seminar to additional CO/CNET Fall 02 units	SSSU	

**CHOICE NAVY**

Purpose: To provide prospective recruits insight and avenues to explore career options.

This pilot program would provide a website that would show portfolios of all ratings in the navy community vice recruiters deciding what potential recruits need to know.

Website would include:

(1) Direct access via e-mail to career counselors that would connect the potential recruits with a fleet sailor that would e-mail them about their job and what it entails.

(2) Have on-line video presentations of a day in the life of each rating to provide a visual aid.

(3) Have hand-outs that have information avenues to educate potential recruits

The idea behind this program would be to make the person comfortable and allow them to look at all options they have in their potential career.

Long-term goal: All recruiting stations make this the basis for recruiting the next generation.

**A SERIES OF PILOTS THAT BUILD UPON ONE ANOTHER TO ADDRESS LEADERSHIP TRAINING FROM THE EARLIEST PERIODS OF A NAVAL CAREER**

1. Augment the current teaching in leadership and values at boot camp and throughout the leadership continuum with dramatic stories from naval history that will be remembered long after boot camp or the course.

2. Institute brief leadership training periods at each command for E1-E3 personnel. The course would be scenario driven and concentrate on applications for real situations.

3. Reinvigorate the concept of the Leading Seamen. Any time that three Seamen are assigned together, one should be in charge and learn leadership through that experience. The position should be rotated weekly.

4. Bring leadership training into a command's daily routine. For example, during drills onboard a ship, remove key players such as the CO or XO from play and fleet subordinates up to learn leadership by filling higher billets in a dynamic, fast paced, but safe situation.

The first pilot would fall to CNET and would take from 6-12 months to develop.

The other initiatives could be implemented via an ALNAV within a month or two with some additional support from CNET for the Seaman leadership training period following a few months later.

**INTEGRATING THE FAMILY INTO NAVY LIFE**

- Purpose: The purpose of this important project is to develop a program that makes family members feel like valued members of the Navy.

- Action: Structure an AI inspired large group intervention to share positive experiences, help tell the Navy story, and welcome spouses into the Navy family. The group will develop a pilot program to link families more closely to the Navy family support structure throughout a Sailor' s career.
- Location: Norfolk and San Diego
- Sponsors/Champions: CHNAVPERS, MCPON, Ombudsmen, Mid-Atlantic and Navy Region Southwest Regional Commanders
- Date: February 2002

### **21-CENTURY FACILITIES FOR A 21 CENTURY NAVY**

**Current Status:** Make do with 19 century facilities

**Vision:** WORLD CLASS FACILITIES TO SUPPORT A WORLD CLASS INTER-CONNECTED NAVY. (Personnel buildings, utilities, as well as parking structures, piers, etc.)

**Champions:** PWC and Base CO' s, Regional Commanders, Congressional Leaders, etc.

**Possible Locations:** Fleet concentration areas, San Diego, Norfolk

**Possible Commands:** AIRPAC (Any command needing support facilities)

**Possible Impacts:** Provides an infrastructure, utilities and environment that supports a world class Navy.

**When should it be started:** Now

**Group Members:** Al Jo, Paul Crecelius, Dennis Narlock

**Project Name:** 21-Century Facilities for a 21 Century Navy

**Purpose Statement:** To provide world-class facilities to support, maintain and enhance a world class Navy.

**Proposal:** Compare two squadrons. Build a world-class facility for one squadron. Compare the squadron moral, retention and operation in the world-class facility to the one in the old existing facility, by interview with the squadron members and metrics.

**Short Term:**



**Actions:** Obtain command support, define possible locations

**Help needed from:** Base and Senior level Commands, Congress

**Due Date:** ?????

**Long Term:**

**Actions:** Integrated facility plan developed for each base and continuous support and Commitment to build new facilities!

**Help needed from:** Base and Senior level Commands, Congress

### **PEOPLE FOCUSED, FLEET FOCUSED AI DIALOGUE**

**Issue to Consider:**

When our Sailors go home for Christmas Leave in a few days ... each of their parents families, and friends will give every one of us the “ Go Home” Test. The test is simple ... and applies across our entire nation. How does the Navy value what our families hold most precious ... the extensions of their very lives ... and the future of our society, namely: our people? Does our institution value every person’ s role, contribution, and potential ... no matter what their job? When we think about that during this year’ s Holiday Season and in the coming years, can you imagine how satisfied we’ d be if there was no doubt about our success and excellence in this central area?

**Challenge:**

Covenant Leadership demands that we rise to this challenge ... and make the stewardship of those entrusted to us a real, meaningful, and tangible priority. The challenges or detractors from this idea pale in comparison to the tremendous potential benefits.

**Action:**

To extend the momentum of this Summit and Covenant Leadership, C3F will conduct an AI Summit for our staff, focusing on the professional and personal development of all our team members. We see this as a high potential next step, featuring leadership by example ... from the 3 Star, Numbered Fleet Commander . This project is envisioned to be a vehicle that enables every C3F staff member to

be an empowered and valued innovator. The power of AI methodology can assist us improve our Self Talk ... “ Focusing on the Fleet” ... enhancing empowerment, job satisfaction, performance, and the life enrichment of every team member.

One of the compelling aspects of the C3F venue is the unique leveraging potential with our Fleet operating forces, our Fleet Training Commands (including the Council of Training Captains) and our array of Sea Based Battle Lab partners ... in DoD, the military services, academia, industry, and other private sector organizations. The

diversity, span of influence, and synergy of this network intersects with other key initiatives in this spirit, including TF EXCEL and Center for Executive Education programs. There’ s no partner more important to us in this regard than NPS ... our Corporate University and California neighbor. This pilot project is a prime example of the potential represented by the Fleet-NPS relationship, that we’ ve prioritized and nurtured in recent years. The intellectual capital of the school and the operational and innovation focus of the C3F are the key ingredients in this dynamic and exciting partnership.

This all fits into the C3F identity of: Operate, Educate, and Innovate. We want our people to be the beneficiaries of that identity, as well as the mission ... and we aspire to share this effort throughout our institution.

We see the C3F AI Summit as a significant opportunity for the entire Fleet, and “ Big Navy” as a whole.

We also look forward to partnering and leveraging with the other AI Summit pilot projects, including the interesting efforts proposed by USS BELLEAU WOOD, SSC Great Lakes, and others.

## **E. 30 SOMETHING PROGRAM**

The "Thirty-Something" program is a four-week exercise that creates an environment in which young Navy and Marine Corps officers can share their ideas for the future of the Department of the Navy (DoN) with senior leadership.

The course was created in response to a need expressed by the Honorable Jerry M. Hultin, Under Secretary of the Navy, whose " Revolution in business Affairs" initiatives are breaking new ground and generating considerable enthusiasm for change in the military. Developed and managed by the Center for Executive Education at NPS, the course is modeled after the Center's classes offered to flag-level officers that focus on innovation and positive change. Secretary Hultin emphasizes that creative thinking to solve military problems is not just the purview of senior management. As in private industry, it is the middle management that often provides the solutions to emerging problems.

Exciting speakers and concentrated group work in the course provide an opportunity for junior officers to think about issues that will affect the military of the future, and to generate recommendations that might otherwise not be captured from young officers. Throughout the course, students spend time learning from forward-thinking military and civilian executives, futurists, and experts in the field of creative thinking. Speakers and readings in the various topic areas are designed to stimulate critical thinking, but the weight of the responsibility for course outcomes is placed on student participation. Students are encouraged to actively pursue learning through questioning, discussion, and debate.

Early in the course, students form groups to work on projects that address significant challenges faced by the DoN. Using classroom resources and their own experience, students work to generate innovative ideas to address the challenges that the military faces in the future. At the end of the course, the students brief their recommendations to the Under Secretary, and return to their commands with new ideas and frameworks for solving DoN problems.

The Center for Executive Education (CEE) hosted the second "30-Something" seminar in April 2001. This program challenged 13 Naval Officers (one Royal Navy), 5 Marines, one Air Force officer , and one DoD civilian.

This group was chartered by the Chief of Naval Operations to answer the question "How can the Navy become an employer of choice in America?" and pondered additional questions.

How can the Navy and Marine Corps win the war for talent? How can we attract and retain the best Americans for service to the nation? What characteristics must our organization have in order to fight and win the next war or respond to the next crisis facing the nation? What actions must we take to become the employer of first choice?

It concluded the Navy and Marine Corps must undergo a cultural shift with regard to people, learning, and communication, and that we must make changes today. The culture it envisions:

- values people while placing mission accomplishment first
- recognizes the value of continuous learning
- clearly communicates internally and externally

This culture will emerge only after making changes to current policies, structures and procedures.

At the conclusion of the seminar the group briefed VADM McGinn (Deputy CNO for Warfare Requirements and Programs) and VADM Bucchi (Commander 3rd Fleet). Since the class we have taken our message to Navy Headquarters, the PCO / PXO class in Newport RI, the Naval War College, the US Naval Academy, two Revolution in Business Practices (RBP) courses and Hon. Sean O'Keefe, Dep. Dir, Office of Management and Budget and former Secretary of the Navy.

The goal of the group is to help the Navy and Marine Corps recruit and retain intelligent and motivated individuals to participate in a dynamic organization capable of rapidly responding to any global contingency. We believe that the Navy and Marine Corps of the 21st century must place as much emphasis on organizational doctrine as we do warfighting doctrine in order to gain the long term competitive advantage of quality people.

In order to attract and retain the best people in America, this group feels we must move towards being the employer of first choice in America. Adapting our culture can have a dramatic effect on recruiting and retaining the most effective war-fighters of present and future generations. Furthermore it will ensure that those we recruit and retain are flexible enough to respond to any event in the warfighting spectrum.

## **F. MARINE CORPS LOGISTICS CAMPAIGN PLAN 2001 AND RELATED ITEMS**

### **Logistics Campaign Plan**

The Marine Corps Logistics Campaign Plan (MCLCP) has been developed with the intent of articulating the vision and strategy for Marine logistics. The goals, objectives, and tasks outlined in this plan reflect the Marine Corps vision for future warfighting concepts by positioning and/or evolving specific functions and capabilities to best support these concepts. Future warfighting concepts that fall under the purview of Expeditionary Maneuver Warfare such as Operational Maneuver From The Sea will be defined by our logistics capabilities or by our logistics limitations. In light of this we the undersigned, current Logistics General Officers of the Marine Corps, support the MCLCP 2001 and are committed to its successful achievement.

LtGen Gary S. McKissock	MGen Harold Mashburn Jr.
MGen Richard L. Kelly	BGen John J. McCarthy Jr.
BGen Bradley M. Lott	BGen Robert C. Dickerson Jr.
BGen(sel) Michael R. Lehnert	MGen Paul M. Lee
MGen Gary H. Hughey	BGen Frances C. Wilson
BGen James M. Feigley	BGen Cornell A. Wilson
BGen Richard S. Kramlich	BGen Willie J. Williams

### **Purpose**

This document provides a comprehensive reference point for our Marine Corps logistics community, and a compass to guide us. It provides the necessary overarching framework, guidance, strategies and specific goals, objectives and tasks to successfully evolve Marine Corps logistics. It addresses logistics at the strategic, operational and tactical levels. Our Campaign Plan is designed to serve the entire Marine Corps logistics community; all elements of the Marine Air Ground Task Force (MAGTF), and the supporting establishment.

### **Mission**

Provide logistics support to Marine Corps forces to enable them to accomplish assigned missions across the full spectrum of expeditionary operations and warfare.

### **Vision**

We will ensure that the Marine Corps continues to be the world's most capable expeditionary fighting force by dramatically enhancing the expeditionary and joint capabilities of the Marine Air Ground Task Force through the evolution of logistics.

### **Guiding Principles**

□ We will organize logistics capabilities to ensure the commander in the field can

be absolutely confident that required support will be provided when and where it is needed.

- We will maintain a war-fighting ethos consistent with expeditionary maneuver warfare and joint concepts as we develop, modernize, refine our logistics systems and practices

- We will emphasize speed and information as a principal contributor to reducing mass, footprint, and inventory.

- We will operate in peacetime as we will in wartime.

- We will work closely with the Navy to develop a logistics capability that is naval in character.

- We will cultivate a closer bond between aviation logistics and ground logistics.

#### Implementation

The Marine Corps CSSE Advocate, Deputy Commandant for Installations and Logistics, is responsible for coordinating and executing the goals, objectives, and tasks outlined in this Campaign Plan with the assistance of the CSSE Advocacy Board. The executive agent for the day-to-day execution of this plan is the Director, Logistics Plans, Policies and Strategic Mobility (LP) supported by the Logistics Vision and Strategy Center (LPV). Central to this execution will be the adherence to our Precision Logistics ethos of dynamically enhancing the MAGTF's expeditionary and joint warfighting capabilities through the evolution of logistics. Each task within this plan is assigned a lead agency/organization and supporting agencies/organizations. The first agency/organization assigned is designated the lead for a task. Leads are responsible for developing plan of actions and milestones (POA&M), coordinating with the supporting agencies/organizations, and for ensuring the task is executed. Specific suspense dates were assigned to tasks only when a date could be logically quantified. Tasks without suspense dates will have ones later assigned as a result of the development of POA&Ms. During January 2001, a web site will be developed to display the status of this plan. Visitors to the site will be able to review POA&Ms for each task contained in the plan.

#### Goal 1

##### Logistics Support for Operations

Enhance and develop logistics capabilities, including Sea Based Logistics (SBL), to support emerging warfighting concepts.

Expeditionary Maneuver Warfare encapsulates the Marine Corps future warfighting concepts such as Operational Maneuver From The Sea. These concepts are a dynamic departure from the Marine Corps current operational capabilities and require significant advancements in procedures and materiel assets to be implemented. The most essential of

these are advances in the area of logistics. Marine logistics will begin evolving the capabilities of the MAGTF now in order to prepare it for the future. The objectives and tasks contained in this goal are designed to begin positioning and/or evolving capabilities for the future.

Objective 1.1. Develop a concept of logistics support for emerging warfighting concepts for the 21st century.

1.1.1 During 2001, participate in defining emerging warfighting concepts such as Expeditionary Maneuver Warfare and Operational Maneuver From The Sea (OMFTS).

(HQMC (LP), MCCDC, PP&O, AVIATION)

1.1.2 During 2001, develop a Logistics Concept of Operations that defines Combat Service Support (CSS)/logistics concepts through 2020.

(HQMC (LP), MCCDC, MARCORMATCOM)

1.1.3 Develop and validate specific required capabilities to conduct Sea-based logistics operations.

(HQMC (LP), MCCDC, MARCORMATCOM, PP&O AVIATION)

1.1.4 Participate and support the development of the Maritime Prepositioned Force (Future) program.

(HQMC (LP), MCCDC, PP&O, AVIATION)

Objective 1.2 Improve Equipment Readiness.

1.2.1 During 2001, develop and implement methodologies to improve the Reliability, Availability, and Maintainability (RAM) of new and existing weapon systems.

(MARCORMATCOM, HQMC (LP))

1.2.2 Identify deficiencies in and develop solutions of operator and maintainer training and proficiency.

(MARCORMATCOM, MARFORS, TECOM, HQMC (LP))

1.2.3 Develop and implement tools to capture "Total-Ownership-Cost" for ground tactical equipment.

(MARCORMATCOM, HQMC (LP), MARFORS)

1.2.4 Develop and implement tools to capture "Mean-Time-Between-Failure" measurements for ground tactical equipment.

(MARCORMATCOM, HQMC (LP), MARFORS)

1.2.5 Develop and implement maintenance methodologies that will reduce intermediate level Repair Cycle Time.

(MARCORMATCOM, HQMC (LP), MARFORS)

1.2.6 Develop and provide informational tools, simulation models, predictability tools, and imbedded technology to help the operating forces identify and analyze ground equipment readiness problems.

(MARCORMATCOM, HQMC (LP), MARFORS)

1.2.7 Standardize and reduce the variety of tools and test, measurement and diagnostic equipment (TMDE) necessary to support equipment.

(MARCORMATCOM, HQMC (LP), MARFORS)

1.2.8 Contribute to the reduction of administrative maintenance preparation time (i.e., overhead costs associated with paperwork) by fielding a capability that builds on ATLASS II and Maintenance Automated Program (MAP) results (MARCORMATCOM,

HQMC (LP), MARFORS)

Objective 1.3 Improve Distribution.

1.3.1 During 2001, develop and field Automatic Identification Technology (AIT) capabilities to support the identification and processing of materiel within the storage and distribution processes.

(MARCORMATCOM, HQMC (LP), MARFORS, MCCDC)

1.3.2 During 2001, develop and implement a methodology to develop an effective, responsive, and seamless distribution system extending from source of supply through the theater distribution system or Navy fleet logistics channels, into and including the forward deployed MAGTFs.

(HQMC(LP), MARFORS, (MARCORMATCOM)

1.3.3 During 2001, develop a methodology to reshape deployed supply blocks to be more responsive to MAGTF's readiness requirements particularly for class IX repair parts.

(HQMC(LP), MARFORS, MARCORMATCOM)

1.3.4 Achieve 100% automated visibility, access and redistribution of all classes of supply by January 2004.

(HQMC (LP), MARCORMATCOM, MARFORS)

1.3.5 Reduce retail Customer Wait Time (CWT) to no more than twenty-four hours by January 2005.

(HQMC(LP), MARFORS, MARCORMATCOM)

Note: The metrics for retail CWT are the same as the current metrics for retail Order Ship Time (OST).

1.3.6 Reduce Customer Wait Time (CWT) to no more than five days by January 2005.

(HQMC(LP), MARFORS, MARCORMATCOM)

Note: The metrics for CWT are the same as the current metrics for wholesale Order Ship Time (OST).

Objective 1.4. Develop Logistics Command and Control Capabilities.

1.4.1 During 2001, develop the operational and technical requirements for a logistics command and control capability.

(HQMC (LP), MARCORMATCOM, MCCDC, C4, MARFORS)

1.4.2 During 2001, conduct experimentation of the Autonomic Logistics concept to include joint experimentation with the U.S. Army.

(HQMC (LP), MCCDC, MARCORMATCOM, C4, MARFORS)

1.4.3 During 2001, experiment with logistics C2 processes, procedures and systems in a tactical environment.

(HQMC(LP), MCCDC, MARFORS)

1.4.4 During 2004, complete the initial development and fielding of Global Combat Support System – Marine Corps (GCSS-MC).

(MARCORMATCOM, HQMC(LP), MARFORS)

Objective 1.5 Refine engineer support, health services and services capabilities in an expeditionary environment.

1.5.1 Upon completion of the Logistics Concept of Operations, refine engineer and Explosive Ordnance Disposal support concepts and capabilities.



- (HQMC (LP),HQMC(AVN), HQMC(PP&O), MCCDC, MARFORs)
- 1.5.2 Upon completion of the Logistics Concept of Operations, refine health services concepts and capabilities. (HQMC (MED), MCCDC, MARFORs)
- 1.5.3 Upon completion of the Logistics Concept of Operations, refine services capabilities (e.g. graves registration, disbursing)  
(HQMC (LP), MCCDC,MARFORs)

Objective 1.6 Validate and implement the Integrated Logistics Capability (ILC) recommendations.

- 1.6.1 Migrate Secondary Reparable management to Marine Corps Materiel Command (MATCOM) by FY 02.  
(HQMC (LP), MARCORMATCOM, MARFORs)
- 1.6.2 Transition management of 4th echelon maintenance to MATCOM during FY 02.  
(HQMC (LP) ,MARCORMATCOM, MARFORs)
- 1.6.3 Consolidate selected organizational supply functions at the intermediate level by FY 03.  
(HQMC (LP), MARCORMATCOM, MARFORs)
- 1.6.4 Consolidate 2nd and 3rd echelons of maintenance to the intermediate level by FY 05.  
(HQMC (LP), MARCORMATCOM, MARFORs)
- 1.6.5 Facilitate use of the Quadrant Model in logistics operations by FY 05.  
(HQMC (LP), MARCORMATCOM, MARFORs)

## Goal 2

### Logisticians

Implement programs that produce a highly knowledgeable, flexible and professional Marine Corps logistics workforce required to support existing and emerging logistics processes and systems.

We will continue to pursue the professional development of both our Marine and civilian logisticians to better prepare them for challenges today and in the future. Through this effort, we will exploit training opportunities available in the military, commercial, and academic sectors to provide the knowledge and skills to recognize and apply best logistics practices for enabling our future warfighting concepts.

Objective 2.1. Enhance the training and education of military logisticians throughout their careers.

- 2.1.1 Refine career progression training for logistics Occupational Fields (OccFlds).  
(HQMC (LP),MCCDC (T&E))
- 2.1.2 Assist other organizations (e.g., Training & Education Command (T&E), Marine Corps University (MCU), Marine Corps Combat Development Command (MCCDC), Joint Course for Logistics (JCL), Armed Forces Staff College (AFSC)) in developing and refining formal schools and other Professional Military Education (PME) courses.  
(HQMC (LP), MCCDC (T&E), MARCORMATCOM)
- 2.1.3 Establish closer relationships with industry and academia (e.g., manufacturing,

services and distribution companies and universities) to include PME instruction and fellowship programs.

(HQMC (LP), MCCDC (T&E), MARCORMATCOM)

2.1.4 Capitalize on existing civilian and military educational opportunities (e.g., the Society of Logistics Engineers (SOLE), U.S. Army Logistics Executive Development Course (LEDC), cooperative management degree programs). (HQMC (LP), MCCDC (T&E))

2.1.5 Develop and support logistics mentorship programs.

(HQMC (LP), MCCDC (T&E), Logistics Community)

Objective 2.2. Enhance the training and education of civilian Marine logisticians throughout their careers.

2.2.1 Develop formalized logistics training programs for the civilian Marine workforce.

(HQMC (LP), MCCDC (T&E), MARCORMATCOM)

2.2.2 Encourage civilian Marine participation in logistics MOS/PME schooling and professional logistical organizations in order to enhance their ability to support and understand needs of operating forces.

(HQMC (LP), MCCDC (T&E), MARCORMATCOM)

2.2.3 Help civilian Marines enhance their understanding and appreciation of the operating environment in order to enhance their ability to support and understand needs of operating forces.

(HQMC (LP), MCCDC (T&E), MARCORMATCOM)

### Goal 3

#### CSSE Advocacy

The logistics community must articulate its needs and capabilities with a single voice. The Deputy Commandant for Installations and Logistics is the Combat Service Support Element Advocate. CSSE Advocate's responsibilities are not limited to the CSS Element. His responsibilities encompass all ground logistics and its associated functions throughout the MAGTF. CSSE Advocate and the members of the CSSE Advocacy Board create a common vision for the future of Marine logistics, the establishment of priorities, and the allocation of resources.

Objective 3.1. Refine the vision for future of Marine Corps logistics.

3.1.1 During 2001, adopt a Logistics Concept of Operations that defines CSS/logistics concepts through 2020.

(HQMC (LP), MCCDC, MARCORMATCOM)

Objective 3.2 Take necessary actions to shape Marine Corps logistics in preparation for emerging warfighting concepts.

3.2.1 Assist the logistics community in identifying capabilities, deficiencies and issues, and ensure those issues are advanced through various processes within the combat development system and the Department of the Navy.

(HQMC (LP), MCCDC, MARCORMATCOM)

3.2.2 Act as a conduit between the operating forces/supporting establishment and the various process owners within the combat development system, as well as those external

to the Marine Corps to ensure that element interests are properly addressed.

(HQMC (LP), MCCDC, MARCORMATCOM)

3.2.3 Review, validate, and prioritize selected Universal Needs Statements (UNS), Mission Needs Statements (MNS), Operational Requirement Documents (ORD), and force structure recommendations prior to the start of resource allocation process.

(HQMC (LP), MCCDC, MARCORMATCOM)

3.2.4 Prioritize and monitor the allocation of Science and Technology (S&T) funding for initiatives related to ground logistics.

(HQMC (LP), MCCDC, MARCORMATCOM)

#### Objective 3.3 Develop a Resource Strategy for the CSSE Advocate

3.3.1 Through the use of appropriation-based Integrated Product Teams (IPTs), gather, analyze, resolve, and recommend CSSE/Logistics initiatives and issues for prioritization by DC, I&L and the CSSE Advocacy Board. (HQMC (L3), MCCDC, MARCORMATCOM)

3.3.2 Advocate the DC, I&L and the CSSE Advocacy Board Product in the Resource Requirements Process.

(HQMC (L3), MCCDC, MARCORMATCOM)

#### Objective 3.4 Explore the inclusion of key functional areas under CSSE Advocacy.

3.4.1 Explore the integration of personnel administration functions into the CSS area of responsibility.

(HQMC (LP), M&RA)

3.4.2 Explore the integration of NBC deliberate decontamination into the CSS area of responsibility.

(HQMC (LP), PP&O)

3.4.3 Explore the integration of other key services into logistics advocacy (e.g., military police, postal).

(HQMC (LP))

#### Objective 3.5 Manage Logistics Occupational Fields.

3.5.1 Develop an effective partnership between logistics occupational field sponsors and manpower specialists by reaching consensus on common goals and objectives, and by sharing access to pertinent information systems. (HQMC (LP), M&RA)

3.5.2 Utilize a variety of media to identify career issues and to inform logisticians of decisions affecting their careers.

(HQMC (LP), M&RA)

3.5.3 Provide the CSSE Advocacy Board with an effective reporting tool that identifies trends in the recruiting, retention, education, manning, staffing, assigning and career advancement of logisticians.

(HQMC (LP))

#### Objective 3.6 Logistics Policy

3.6.1 By 2002, complete a comprehensive review and update of logistics policy. (HQMC (LP))

#### Goal 4

##### Logistics Processes and Procedures

Increase logistics responsiveness, effectiveness, and efficiency by applying innovation and the best military and business practices, wherever appropriate. While maintaining our focus on enhancing the MAGTF, we must continue to apply best logistics practices to processes and procedures to areas that are enablers to our CSS capabilities. These areas contribute to the strengthening link between the operating forces and the supporting establishments activities.

Objective 4.1. Standardize and implement policies and procedures for Contractor Logistics Support (CLS) of weapon and support systems.

4.1.1 During 2001 formally publish policies and procedures for CLS.

(MARCORMATCOM, HQMC (LP))

4.1.2 Implement CLS across the full spectrum of equipment where suitable to enhancing the CSS capabilities of the MAGTF.

(MARCORMATCOM, HQMC (LP), MARFORs)

Objective 4.2. Implement the provisions outlined in the Marine Corps Logistics Information Resources (IR) Plan.

4.2.1 During 2001, define the logistics Operational Architecture (doctrine, tactics, techniques, processes and procedures) that will drive Technical and System Architectures.

(HQMC (LP), MARCORMATCOM)

4.2.2 During 2001, implement the System Realignment and Categorization (SRAC) process to support the USMC Logistics Information Resources (LOG IR) Plan and logistics Operational Architecture (OA).

(MARCORMATCOM, HQMC (LP))

4.2.3 During 2001, provide an interactive and current source of information related to USMC Logistics Information Resources strategy, plans, guidance, and implementation.

(MARCORMATCOM, HQMC (LP))

4.2.4. In preparation of POM 04 submissions, facilitate the implementation of portfolio management for logistics IT in order to ensure that policies, programs, and requirements for logistics information system technology are integrated with an investment strategy.

(HQMC (LP), MARCORMATCOM, P&R)

4.2.5 By 2005, evolve ATLASS functionality to support emerging logistics processes.

(MARCORMATCOM, HQMC (LP), MARFORs)

4.2.6 By 2006, ensure that all logistics information technology (IT) applications support the Operational Architecture and comply with Defense Information Infrastructure Common Operating Environment (DII COE) and Marine Corps Enterprise Network and Navy Marine Corps Intranet standards.

(HQMC (LP), MARCORMATCOM)

4.2.7 By 2010, develop and implement an Integrated Data Environment.

(HQMC (LP), MARCORMATCOM)

Objective 4.3. Expand the use of electronic commerce (EC) and electronic data interchange (EDI) in order to ensure interoperable communication in business-to-business and business-to customer transactions, and to reduce paper and manual transactions.

4.3.1 During 2001, develop an EC and EDI development and implementation strategy for the Marine Corps.

(HQMC (LP), MCCDC), MARCORMATCOM, C4, MARFORs)

Objective 4.4. Enhance Depot Maintenance.

4.4.1 Continue to improve Depot Level Maintenance Process (DLMP) in order to integrate planning requirements and execution.

(MARCORMATCOM)

4.4.2 Develop a system to capture depot "costs-per-repairaccomplished", benchmark depot costs to other depot like organizations, and set cost reduction goals.

(MARCORMATCOM)

4.4.3 Develop and implement maintenance methodologies that will reduce depot level Repair Cycle Time.

(MARCORMATCOM, HQMC(LP))

Questions and/or Information

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Installations and Logistics

Headquarters U. S. Marine Corps

(703)695-6101/6019

<http://www.hqmc.usmc.mil/ilweb.nsf>

## **2. Rational planning process Marine Corps Logistics Bases**

The LogBases' commander Brig. Gen. Richard S. Kramlich, stresses [to every military and civilian member of the LogBases' workforce] the importance of reading and fully understanding the strategic plan and its goals.

The website has been created in 'Bobbie-approved architecture' which makes it handicapped accessible.

Even after celebrating 25 years of sustained success, Marine Corps Logistics Bases refuses to rest on its laurels. With the official release of the LogBases Strategic Plan 2001, Brig. Gen. Richard S. Kramlich, commander of LogBases, has poised this command to reach and achieve even greater success over the next five years.

The framework of the plan, a product of over 18 months of developing and revising a bold logistics vision, articulates a new vector for the future for LogBases, aligned with the latest concepts of Marine Corps logistics support. "General [James L.] Jones, our 32nd commandant, recently said, 'We must organize and operate in such a way that commanders have absolute confidence that required support will be provided when and where it is needed,'" Kramlich wrote in the plan's introduction.

Although few in words, the implications of this challenge to LogBases are profound. Put in Marine Corps war fighter terms, when a Marine calls for fire, he knows it's coming. "Our task, as implied in the Commandant's words, is to give that Marine the same absolute confidence that when he needs the kind of logistics support that MarCorLogBases provides, he'll have it," Kramlich said. "For any plan to be effective, the vision, mission and values must be translated into clear objectives, measures and relevant metrics by which the command can gauge its success in implementation of the strategy," said Maj. John Stevens, future operations officer for MarCorLogBases. "The Strategic Planning Working Group has gone through an extremely thorough process," said Stevens. "Not only have we determined our vision, we've assessed both the internal and external environments, formulated a strategy to bridge the gap, created a strategic management framework using the balanced scorecard, portrayed potential scenarios, constructed a plan and put it to work," said Stevens.

Participants in the SPWG have not been limited to LogBases' personnel. In addition to LogBases' senior leadership, select middle managers, members of Marine Corps Materiel Command, Marine Corps Systems Command, the Defense Logistics Agency and the American Federation of Government Employees have all played important roles in formulating the plan. "This is a significant departure from the way plans used to be written," Stevens explained. "In the past it used to be a very sequential operation -- linear -- with the higher command articulating a plan, then passing it to a subordinate command for staffing comments, then eventually publishing a final plan that would trickle down through the chain of command. "The new Marine Corps planning doctrine does anything but that," Stevens continued. "It encourages different commands -- higher and adjacent -- to plan together where their planning cells unite to form a more collaborative plan to eliminate the formal structured staffing process. "We've done that. We've looked not just one echelon up [which is MatCom], but we've gone two

echelons up [Installations and Logistics, Headquarters Marine Corps] to ensure our strategic plan is aligned with both," Stevens explained.

"We've even had representatives go up to I&L to interview the authors of their campaign plan to make sure we understood it and to ensure everything would be aligned with other command facets," added Capt. Peter Mahoney, LogBases' future operations analyst. "We went through our plan," Mahoney continued, "and where we saw something that directly pertains to either the Marine Corps campaign plan or the MatCom plan, we identified it and cross referenced it to our plan."

Stevens pointed out that even with the commands working together to formulate a cohesive plan, senior leadership understands that the external environment is always changing, so strategy never stops.

"The SWPG will continuously review the strategic plan to ensure it remains a living document," Stevens emphasized. "What we have now is an unclouded set of objectives to identify the future we [LogBases] want to create. We're clearly headed in the right direction." This is why it is of the utmost importance that the workforce read, understand and implement the objectives set forth in the strategic plan. General Kramlich participated in the development of the plan's words and has been deeply involved with every phase of its evolution," Stevens said.

"The strategic plan paints a picture of what LogBases' future looks like. We want LogBases to be positioned, three-to-five years down the road, to be able to meet up with that picture," Stevens concluded.

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## **G. CODES AND COMMENTS FOR NETWORKS**

### **1. Codes within the "Navy Opportunities" network**

Leaders advancing subordinates – Either by giving them rank or through developing them professionally.

Generational influence – People who have had a direct influence on someone else joining the service or influence at an early age by media sources.

Contribution to a higher purpose– People state this, either implicitly or implied through other verbiage.

Increased confidence – One person stating that their confidence was increased due to some action, another person or a situation.

Sense of achievement personal – Chance to make a difference. People see the meaningfulness and impact of their actions.

Learning opportunity – Relate to education on demand and about people seeing the value of learning in the opportunity presented.

Opportunity to excel – When someone is faced with adversity or challenge and given the opportunity or seeing the opportunity - goes forth and attempts to make a difference.

Navy opportunities - Educational and professional opportunities that are available to individuals.

### **2. Codes within the "Autonomy to Act" network**

Confidence in subordinates competence – Implies authority to conduct action by leaders/supervisors.

Increased confidence – One person stating that their confidence was increased due to some action, another person or a situation.

Contribution to a higher purpose – People state this, either implicitly or implied through other verbiage.

Opportunity to excel – When someone is faced with adversity or challenge and given the opportunity or seeing the opportunity - goes forth and attempts to make a difference.

Innovative solution – Solving a problem using a process that is not "traditional" in nature. This is also about taking the initiative to make it happen.

Tolerance of mistakes – Mistakes are tolerated as a learning tool or for personal growth.

Chain of command as intended – Bestowing appropriate authority at the correct level.

Trust upfront – This trust is standing and unconditional and comes from those in authority.

Personal Support – Standing up for your people -leaders accepting responsibility for actions of subordinates.

Autonomy to act – Implies authority to conduct action by leaders or supervisors

### **3. Codes within the "Recognition Personal" network**

Contribution to a higher purpose – People state this, either implicitly or implied through other verbiage.

Sense of achievement personal – Chance to make a difference. People see the meaningfulness and impact of their actions.

Realization – When people have a moment of clarity (i.e. clarity after some type of event; award, career opportunity, trusting your people, supported by chain of command).

Increased confidence – One person stating that their confidence was increased due to some action, another person or a situation.

Personal attention – Exceptional ways leaders are relating. More specifically it is about leaders who care on an individual level about the personal well being of subordinates.

Challenge – Meeting or overcoming these challenges pulls out the skills and competencies that the individual has not had a chance to demonstrate or did not realize that he/she had that often leads to new discoveries about their capacities.

Opportunity to excel – When someone is faced with adversity or challenge and given the opportunity or seeing the opportunity - goes forth and attempts to make a difference.

Recognition personal – This is connected to rewards, formal and informal.

### **4. Codes within the "Teamwork" network**

Challenge – Meeting or overcoming these challenges pulls out the skills and competencies that the individual has not had a chance to demonstrate or did not realize that he/she had that often leads to new discoveries about their capacities.

Teamwork – vertical crossing – Relates to accomplishing a mission while not limited by rank boundaries.

Teamwork – horizontal crossing – Relates to accomplishing a mission without being limited by organizational boundaries (rank independent).

Seeing whole project come together – Team achievement on a project or set of projects.

Tolerance of mistakes – Mistakes are tolerated as a learning tool or for personal growth.

Leaders working side by side – Supervisors leading by example in action, not in conduct. It is associated with (not in a network) with teamwork-vertical. This is not necessarily in a team atmosphere

Respect –showing individual – Respecting each other as individuals across rank boundaries.

Honesty by leaders – Honesty or it is stated as an important characteristic.

Contribution to a higher purpose – People state this, either implicitly or implied through other verbiage.

Inspiring others – This is about one person or a group of people having a positive affect on one or more other people.

Sense of achievement personal – Chance to make a difference. Sees the meaningfulness and impact of his actions

High risk situation – Perilous situations involving personal risk.

Teamwork – Trusting and achievement as a team. Relates to the concept of Esprit De Corps.

## **5. Codes within the "Risk Taking by Leaders" network**

Confidence in subordinates competence – The examples of this have the words confidence by someone else explicitly stated in the story.

Chain of command as intended – Bestowing appropriate authority at the correct level.

Personal support – Standing up for your people -leaders accepting responsibility for actions of subordinates.

Tolerance of mistakes – Mistakes are tolerated as a learning tool for for personal growth.

Attentive to people's learning and development – Someone else (usually a supervisor) being attentive to a peer/subordinates learning and development.

Trust upfront – This trust is standing and unconditional and comes from those in authority.

Autonomy to act – Implies authority to conduct action by leaders or supervisors.

Risk taking – by leaders - This is about leaders who choose to empower their people in spite of the fact that they may face potentially person negative consequences.

## **6. Codes within the "Personal Attention" network**

Seeing potential – Supervisors seeing potential in individuals.

Multi-generational loyalty to give back – People explicitly state a sense of un-mandated obligation to treat others in the same positive way they have been treated in the past.

Leaders –advancing subordinates – The advancement of subordinates through promotion or professional development.

Attentive to people’s learning and development – Someone else (usually a supervisor) being attentive to a peer/subordinates learning and development.

Teamwork – Trusting and achievement as a team. Relates to the concept of Esprit De Corps.

Creates self confidence – A leader or person creating the conditions that generate/lead to self-confidence

Contribution to a higher purpose –. People state this, either implicitly or implied through other verbiage.

Sense of achievement personal – Chance to make a difference. Sees the meaningfulness and impact of his actions

Inspiring others – This is about one person or a group of people having a positive affect on one or more other people.

Respect –showing individual – Respecting each other as individuals across rank boundaries.

Mentoring – Continued attention towards one persons professional growth.

Approachability – Leaders who can be approached by subordinates without inducing rank based apprehension.

Emotional support – This relates to when someone has experienced some type of trauma/sadness and a leader/subordinate/civilian and a senior is there to support them.

Accessibility – This is about actual opportunity for personal contact with leaders / not dependent upon good/bad results

Personal Attention – Exceptional ways leaders are relating. More specifically it is about leaders who care on an individual level about the personal well being of subordinates.

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